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ABSTRACT

The monograph summarizes Fiscal Years 1977-86 spending in the states for services to individuals with mental retardation (MR) and related developmental disabilities (DD). Part One consists of three chapters summarizing budgeting characteristics of the states and organizational characteristics of the MR/DD programs. Part Two presents a series of national charts and tabular displays showing aggregated data for the 50 states and the District of Columbia in terms of revenue sources, summaries of institutional services data, and state rankings of fiscal effort. Part Three contains 50 individual state profiles. For each state there are detailed technical notes documenting sources of data, a five-page chart sequence, and MR/DD revenues and expenditures in a spreadsheet format. Part Four presents federal income maintenance data. Among national conclusions are: the institutional census continues a steady decline; costs of care per diem in institutional settings increased 51.7% over the decade; spending for community programs grew at an average annual rate of 19.3%; public resources, however, remained heavily concentrated in large congregate care facilities with more than 15 beds; total nationwide MR/DD spending (as a percentage of aggregate U.S. personal income) was flat during 1983-86 and grew only 1.9% annually during 1977-83. (DB)

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Public Expenditures for Mental Retardation
and
Developmental Disabilities in the United States

State Profiles
2nd Edition: FY 1977-86

David Braddock
Richard Hemp
Glenn Fujiura

The University of Illinois at Chicago

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PUBLIC EXPENDITURES FOR MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES IN THE UNITED STATES:

STATE PROFILES (SECOND EDITION)

- by -

David Braddock, Ph.D

Richard Hemp, M.A.

Glenn Fujiura, Ph.D.

Public Policy Analysis Program
University Affiliated Facility for Developmental Disabilities
Institute for the Study of Developmental Disabilities
University of Illinois at Chicago
1640 West Roosevelt Road
Chicago, Illinois 60608

September 19, 1986

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An expression of special gratitude is due state MR/DD agency officials across the country. They reacted to and helped revise the initial fiscal data we extracted from their states' executive budget documents. Without their help, a study of this magnitude would simply not have been possible. With it, an important and continuing source of data descriptive of MR/DD service systems in the United States has been created.

David Braddock, Ph.D., Associate Professor
of Community Health Sciences
School of Public Health
University of Illinois at Chicago

September 19, 1986

FOREWORD

This twenty-ninth monograph in the Public Policy Monograph Series summarizes Fiscal Years 1977 through 1986 spending in the states for services to individuals with mental retardation and related developmental disabilities. Similar to the first edition of State Profiles, which spanned the FY 1977-84 period, this document presents for each state a graphic fiscal profile and detailed technical notes documenting sources of data, and the basic organization of services within a given state.

There are, however, some important differences in this Second Edition. First, in order to provide a more comprehensive reference document, expenditure figures are reproduced in a spreadsheet format, immediately following the graphic profiles. Second, a larger number of expenditure classifications have been employed. Included are: a) a four-way breakdown of Federal ICF/MR funds (Small Public, Small Private, Large Private and Institutional); (b) other Title XIX revenues such as the Home and Community Care Waiver and Day Program funding; and (c) Supplemental Security Income (SSI) state supplement payments.

State Supplement payments for SSI recipients are included with community services totals throughout the document. Federal income maintenance monies, however, are displayed on the spreadsheets for each state and nationally, but have not been included in the graphic or other analytical summaries of institutional/community spending. There is a section at the end of the document which provides various graphic and tabular summaries of Federal income maintenance payments/benefits.

The monograph is organized into four parts. Part One consists of three chapters summarizing: a) budgeting characteristics of the states; b) organizational characteristics of the MR/DD agencies; and c) FYs 1977-86 spending trends in the states. Part Two presents a series of national charts and tabular displays. The national chart sequence displays aggregated data for the fifty states and the District of Columbia in terms of: (a) revenue sources; (b) summaries of institutional services data; and (c) state rankings of fiscal effort.

Part Three contains the 51 individual State Profiles. Each present: a) technical notes; b) a five-page chart sequence; and, c) MR/DD revenues and expenditures in a spreadsheet.

Part Four of the monograph presents Federal Income Maintenance data.

FOR A BRIEF OVERVIEW OF THE ENTIRE STUDY, PLEASE READ CHAPTER 3 BEGINNING ON PAGE 37.

PART ONE: ADMINISTRATION OF MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES PROGRAMS

Chapter 1: State Budgeting
Chapter 2: State Agency Organization
Chapter 3: State Spending, FYs 1977–86

CHAPTER 1

ADMINISTRATION OF MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES PROGRAMS I: STATE BUDGETING

In a recent textbook devoted to the issue of community integration, Bruininks and Lakin (1985) noted the dearth of literature on how states have organized themselves financially and administratively to deliver services to persons with mental retardation and developmental disabilities (MR/DD):

> Research must...involve careful fiscal and systems analyses. Far too little is known about the processes and procedures by which some states, regions, and/or localities have developed exemplary systems of services for severely handicapped children and youth while others maintain archaic systems of segregated education, residential and support services (p. 275).

Few subjects are as germane to the delivery of MR/DD services in the states--and as poorly understood--as state budgeting and accounting systems. Despite the centrality of state-supported services in the MR/DD field, Caiden (1978) noted that with regard to the field of mental disability in general: "there is no system for nationwide reporting or evaluation of expenditures and no agency is responsible for providing it. The gap is serious and serious policy-making depends upon filling it" (p. 7). Skoler (1978), and others (Braddock, 1974; 1981; Gettings & Mitchell, 1980; Wieck & Bruininks, 1980), have also called for research to furnish the techniques and the framework for the comprehensive and continuous tracking of national costs and expenditure experience in mental disability.

The lack of expenditure information in this area is due, in large part, to the complexity of comparative state budgetary research. Two problems in particular have served to frustrate previous research efforts. The first problem is related to what Caiden (1978) called the "organizational fragmentation" of state MR/DD service efforts. Simply put, MR/DD service programs tend to be located in a wide variety of agencies and at various administrative levels in the several states. "Organizational fragmentation," according to Caiden (1978), "affects the collection of figures on state expenditures through the difficulty in establishing uniform concepts and categories, the sheer size of the undertaking, and the problem of disentangling items concerned with mental retardation from more general human service categories" (p.5).

The second problem concerns the difficulties involved in acquiring and comparing state budget figures. According to Caiden (1978), "the lack of standardized budgeting formats, the problem of working out what to include, and the labor involved in gaining access to the multitude of relevant budgets have so far daunted attempts at systematic or continuing comparative study" (p. 5). Cogan (1980), in fact, has noted that "no authors to my knowledge, have done research on the subject of budgeting for state funded organizations below the state agency or bureau level" (p. 87). The purpose of this chapter, the first of three dealing with state government administration of MR/DD programs, is to present the results of a study of budgeting and accounting practices in the states. Chapter 2 will address state agency organization for delivering MR/DD services, and Chapter 3 analyzes trends in actual MR/DD expenditures in the states during FYs 1977-86.

METHOD

Comparative state policy analysis is frequently focused primarily on the outcomes of state budgetary processes because, as Dye (1977) noted, "budgets are political documents which record the struggles of men over 'who gets what' (and) the budget is the single most important policy statement of any government" (pp. 474-475). While most of the early research in this field was focused on gross state revenues and expenditures (Hofferbert, 1972), the current trend in the literature is to focus on ever smaller policy output components and therefore, on ever more detailed budgetary analysis (Cogan, 1980; Edwards, 1980; Downs & Rocke, 1980).

Along with this finer focus has come an increasing concern with the difficulties involved in comparing policy measures derived from state budget documents. In this Chapter, some of the variations in the way the states report 'who gets what' in their budget documents are described. Specifically, we focus on a description of some of the generic characteristics of state budgeting such as 1) the types of budgeting systems employed by the states (e.g. program, performance, line item, object of expenditure); 2) the quality of budget figures available in official state budget documents (e.g., actual expenditures, appropriations, governor's requests); 3) the degree to which funding sources are delineated in the budgets (e.g., state general revenue, dedicated state funds, federal funds; 4) states' treatment of capital costs, equipment, fringe benefits, and debt service costs; and 5) reporting periods used (annual or biennial). State variations in budgeting and accounting practices have significant implications for the design of expenditure studies in MR/DD and related fields. The major purpose of this article is to discuss these implications.

State Budgeting Systems

The states did not employ a standardized budgeting format. As Howard (1980) stated, "state budget systems are 'hybrids' rather than purebreds, distinguished by the adopted and adapted parts of recent reforms as well as by specific state practices" (p. 199). In theory, there are two types of state budgeting formats: 'ends'-type formats and 'means'-type formats.

An ends-type budgeting format would report, for an MR/DD budget entity, the amount of money spent to carry out specific goals (e.g., community services program development, habilitative services, or genetic screening). A means-type format, on the other hand, would report types of resources expended in carrying out the goal of providing services to the state's MR/DD persons. Thus, the format would implicitly include the same objectives of community program development, habilitation, and genetic screening; but the budget classification categories would be consistent with the means-type format, i.e., Personnel, Contractual Services, and Supplies.

Within these two formats there exist, in turn, four types of budgeting systems commonly used by the states. Program and Performance Budgeting Systems are associated with ends-type formats, while Object of Expenditure and Line-Item Budgeting Systems are employed in means-type formats. The following definitions of these four budgeting systems is based on a report of the U.S. Tax Foundation (1965) and in the general budget literature (Dye, 1977; Murphy, 1981; Lindblom & Wignjowijoto, 1979).

Program budgets organize expenditure information emphasizing the program goal to be achieved rather than the means for attaining these objectives. Performance budgets measure achievement according to established output standards for designated work units. A program budget might report how much money was spent on the goal of community development, while a performance budget would indicate both how much money was spent for that goal, and also how many clients were moved to community residential facilities, and how many such facilities were opened.

There is a similar relationship between the two types of means-type budgeting systems. Line-item budgets provide a detailed breakdown of individual items within a number of general categories of expenditure. In some cases, this detail extends down to a microscopic level of specificity. In the $80 million budget of the MR/DD Department of one state in 1981, for example, there was a separate $1,300 line-item consisting of the revenues from "sale of rags." Another state's line-item budget listed each type of employee separately in its budget: cook, mental health technician, general craftsmen, helper, public service intern, etc.

Object of Expenditure Budgets are more sophisticated versions of line-item budgets, and show expenditure subtotals, but give no detailed breakdowns. They usually group expenditures according to five standardized categories of functions for each budget entity: personnel services, fringe benefits, contractual services, material and supplies, and capital outlay/equipment. However, even these standard categories are subject to idiosyncracies in the state budget documents. Missouri, for example, only reports two object class categories: personnel services, and expenses and equipment.

Procedure

To carry out the study, 250 published state government executive budgets spanning the FY 1977-84 period were obtained from libraries at the Council of State Governments in Lexington, Kentucky, and in Washington, DC; from the Center for Research Libraries in Chicago; and directly from the states. A 44-item coding form was developed by project staff to gather basic information about state budgeting practices from the narrative portions of the state budget documents. Initially, budget documents were inspected for specific or implied reference to MR/DD funding, and the relevant material was duplicated and filed on a state-by-state basis. Next, ledger sheets were prepared for all 50 states and the D.C. summarizing MR/DD funding in the same terms used in a given state's budget. This enabled exploratory telephone interviews to be conducted with more than 100 state MR/DD, Medicaid, and social services agency administrators using the ledgers as a frame of reference. The interviews were used to verify information gathered in the coding form and data gathered on the 51 coding forms became the basis for an analysis of trends in state-by-state budgeting practices.

RESULTS

Budgeting Systems

Inspection of state budget documents indicated that in 1984, the great majority of states (44) used program budgeting, either in whole or in part, while 38 states used object of expenditure reporting, and 25 states employed performance budgeting measures in compiling their state budget documents. Only eight states used line-item budgeting systems. Most states employed a combination of budget types, or in other words, hybrid budgeting systems.

There were 10 types of hybrid budgeting systems used in the states. One-third of the states (33%) used a combination of Program, Performance, and Object of Expenditure budgeting formats (AL, AK, DE, HI, ID, IL, KS, LA, MD, MO, NJ, OK, PA, SD, TN, WA, WV). Twelve states (or 24%) used a combination of Program and Object-of-Expenditure budget formats (AZ, KY, ME, MI, MN, MS, MT, NH, NM, OH, VA, WY). An additional 22% used either Program budgeting (CO, FL, IN, MA, NE, UT, VT), or a combination of Program and Performance budgeting (NY, OR, TX, WI). California, Connecticut, the District of Columbia and Rhode Island utilized all four types of budgeting systems. The lack of a standardized budgeting system in the states noted by Caiden (1978) and Howard (1980) was overwhelmingly confirmed in our inspection of published executive budgets on a state-by-state basis.

Characteristics of Financial Data Reported in State Budgets

A number of terms were used to label the types of fiscal data reported in state budget documents. These terms had their origin in the stages of the state budget cycle. Since agencies were simultaneously involved in estimating, revising, and projecting their expenditures for past, present, and future fiscal years during a typical budget cycle, it was important to know what different figures referred to and what stages of budget cycle reporting they represented.

In a typical 1981 state budget document, for instance, actual expenditures were reported for FY 1979, representing the amount of money spent after all expenditure accounts had been reconciled and totaled. The actual figure might be higher or lower than the appropriated figure given for the same year in an earlier budget document, depending upon the unobligated balance carried over from prior year appropriations, or on spending freezes. Actual expenditure figures were the most reliable measure of real spending since they were fixed and not subject to subsequent adjustment.

In the same FY 1981 budget document, revised appropriations were provided for FY 1980. These figures represented first approximations of the amount of money actually spent by a given agency or program in a specific fiscal year. Because they were subject to a subsequent final round of revision to actual expenditures, these figures were second-best in terms of reliably measuring the amount of money expended by an agency. Because the figures were based on the amount of money a given agency was empowered by statute to spend in a given fiscal year, however, the degree of ultimate revision in these figures was usually very small. In the place of actual expenditures, they provided an accurate measure of spending.

Finally, the typical budget document would indicate Governor's recommended or agency requested figures for the 1981 fiscal period. Since agency-requested figures represented projections of the amount of money an agency wanted to spend in a future fiscal year, and Governor's recommended figures were subject to substantial modification by the state legislature (to produce appropriated figures) these were the least reliable fiscal output measures contained in official state budget documents. However, we observed a fairly close conformity (less than 5% variance) between an agency or gubernatorial request and the final appropriation, particularly for budget categories representing the maintenance of an existing service.

The span of fiscal years' figures reported in the budget documents varied from state to state. Some states provided two years of actual expenditures, while others provided none, presenting estimates based on current year appropriations, and the Governor's recommendation or agency requested figures. Table I below indicates the distribution of fiscal output measures obtained for the 408 fiscal cells in our initial 51-state by 8-year (1977-1984) data matrix.

Table I
Distribution of Expenditure Figures across States and Years
Based on Initial Budget Document Analysis, July, 1983

Type of Figure	77	78	79	80	81	82	83	84	Total	Percent
Actual	34	33	27	36	28	36	1	0	195	48%
Revised	8	8	9	5	9	5	24	1	69	17%
Appropriated	7	8	12	6	11	4	13	6	67	16%
Requested	2	1	2	3	2	2	6	36	54	13%
Undetermined/ Not Available	0	1	1	1	1	4	7	8	23	6%
	51	51	51	51	51	51	51	51	408	100%

Eighty-one percent of the figures shown in the FYs 1977-84 data matrix represented actual expenditures, revised appropriations, or appropriated figures--even though they were based on budget documents gathered prior to the end of FY 1984. In FY 1983, 75 percent of the figures fell into the top three categories. In FY 1984, however, over 86 percent of the figures obtained were in the bottom two categories of data quality. Using this data matrix to guide interviews with state officials, we subsequently refined the MR/DD data during the next two years until all of the matrix cells reported actual expenditures or revised appropriations. These fiscal data then became the basis for the analysis of MR/DD spending over the past decade which appears in Chapter 3 and in Parts Two (National Profile) and Three (State Profiles).

Funding Source Breakdowns Reported

Funding sources reported in state budget documents were essentially of three types: state general revenue funds, other state funds, and federal funds. Some state activities were supported by non-general revenue state funds in addition to state general revenues. For example, a portion of the proceeds from the New Jersey state lottery was used to support MR/DD services. Bingo receipts in Illinois also supported community services activities.

As the Budget of Oregon (1983, p. xix) noted, there were at least three major distinctions between general revenue funds and the other state revenue segments of the budget. The differences pertained to 1) the origin of the revenues; 2) the types of programs supported; and 3) the method of allocation.

> General fund revenues are derived primarily from state income, gift, inheritance, and 'vice' taxes, while other state fund revenues are derived from use taxes (e.g., the gas tax), license taxes, and sales of services and commodities. General fund revenues are typically used to partially fund programs

> that provide widespread benefits to state residents generally (e.g., education, public health, and welfare, etc.) while other state funds tend to support transportation, employee protection and regulatory activities. General fund revenues may be appropriated for any public purpose, whereas other state funds are either continuously appropriated to certain agencies or are dedicated by law to the support of specific programs. With general fund revenues, an increased appropriation for one agency or program requires a reduction in the appropriation for some other agency or program. Thus, competition for general funds is very keen. Since other state funds may not be shifted between programs, competition for these funds is limited (p. xix).

In terms of reporting funding source breakdowns, state budget documents differed both in types of funding source breakdowns they provided and in the level of disaggregation at which they reported these breakdowns. Table II reports the distribution of funding source breakdowns provided in FY 1984 by level of disaggregation. These levels were defined as: I--total budget; II--cabinet level agency; III--sub-cabinet level agency; and, IV--program level.

Table II
Fund Source Reporting, by Level of Disaggregation

Type of Fund	Reported	Level of Disaggregation			Not Reported
		I - II	II - III	III - IV	
General Revenue	51	7	7	37	0
Other State Funds	46	9	6	31	5
Federal Funds	47	7	6	34	4

Thus, the great majority of states reported all three types of funding source breakdowns. Only five states did not report "other state funds" separately (Delaware, Ohio, Virginia, Wisconsin, and Washington). Only four states did not report federal fund breakdowns: Delaware, Kansas, Montana, and Virginia. In terms of levels of disaggregation, however, only about 2/3 of the states reported funding source breakdowns in their state budget documents down to the program level. To obtain complete data at the program level, as well as to obtain unreported federal and other state fund fiscal detail, state officials would have to be contacted directly and asked to furnish budgetary data based on agency administrative files.

Capital Expenditure Reporting

A basic distinction in budgetary research is made between operating expenditures and capital expenditures. Essentially, operating expenditures cover the costs of day-to-day activities of an agency or program while capital expenditures are one-time outlays whose costs are often amortized over a multi-year period. Capital budgeting processes in the states, like operating budget formats, exhibited considerable variation. Basically, states recorded their capital expenditures in three ways: in a separate capital budget, in a separate section of the operating budget, or by integrating them into the operating budget. Because capital budgets were subject to the same forces that produced diversity in state budgeting and accounting systems, however, many of the states relied on a combination of these three methods.

Eleven states reported all capital expenditures in a separate capital budget; 13 states and DC reported all their capital expenditures in a separate section of the Governor's operating budget; 12 states reported capital expenditures in both a separate section of the Governor's operating budget and in a capital budget. Four states integrated all capital expenditures into their regular operating budget. The remaining 10 states' capital expenditures were reported in a number of different documents. In three of these ten states, capital expenditures were reported in a separate capital budget, a separate section of the governor's operating budget, and also integrated into the regular operating budget. In seven states, capital expenditures appeared in both a separate section of the regular operating budget and were integrated into the regular operating budget.

Equipment, Fringe, and Debt Service Costs

In addition to using a number of different capital budgeting formats, the states also varied in their procedures for reporting fixed equipment costs. Of the 50 states and DC, 38 states, or 75%, included fixed equipment costs in capital construction costs. ["Fixed equipment costs" is a generic term used to describe the purchase of such items as desks, typewriters, computers, and a variety of furnishings in residential facilities.] Of these 38 states, 31 included fixed equipment costs in capital costs for all new and in-progress construction, while seven states included fixed equipment costs in capital costs for new construction only. The remaining 13 states did not include fixed equipment costs in their capital costs. Instead, they reported them in their operating budget.

While the vast majority of states included fringe benefit costs in program operating costs, there were a few exceptions to this general practice. Connecticut, Maryland, New Jersey, and New York, for instance, did not include fringe benefits in operating costs, and South Carolina, after FY 1980, recorded fringe benefits separately in the budget documents. Virginia included fringe benefits in operating costs only after FY 1980. Five states included a debt service component in their operating budget, even though most states reported their debt service elsewhere. The five states were Pennsylvania, Delaware, Rhode Island, Ohio, and Massachusetts.

Fiscal Reporting Periods

One of the most obvious differences in state budget documents concerns the length of the fiscal reporting period. In 1965, the Tax Foundation (1965) reported that the majority of states used a biennial fiscal period, but that the trend favored the adoption of annual fiscal reporting periods.

By 1984, a majority of states had, in fact, adopted an annual budget. Thirty-one states or 61% used an annual budget throughout the FYs 1977-1984 period, while 20 states used a biennial fiscal reporting period. Two states, Nebraska and Florida, changed their fiscal reporting periods between 1977 and 1984. Florida changed from an annual to a biennial reporting period, while Nebraska did the reverse. The great majority of fiscal periods began on July 1 and ended on June 30, although there were five exceptions to this general rule. Alabama, the District of Columbia, and Michigan started their fiscal years coterminous with the Federal Government's October 1 beginning date. New York began its fiscal year on April 1; Texas on September 1.

Discussion and Conclusion

In this article we have described variations in state budgeting and accounting systems. The objective has been to sort out the effects of these variations on the task of making comparisons within and among states over time. We have seen that both state budget and accounting practices varied considerably across states, and that these variations produced complex, but nevertheless identifiable problems in the comparison of MR/DD policy efforts across states. Conceptual and empirical problems that arose from this diversity among the states have also been identified, and some general solutions to these problems have been suggested in terms of employing the most valid and reliable figures for analysis. Clearly, it would be absolutely necessary in any nationwide analysis of MR/DD expenditures in the states to vigorously augment budget document analysis by conducting interviews with several of the most knowledgeable MR/DD, Medicaid, and social services program officials and budget staff in each state.

From the standpoint of constructing a nationwide analysis of MR/DD expenditure experience, four important empirical problems were identified in this study. First, and most importantly, ten types of hybrid budgeting systems in the 50 states were identified. The primary empirical problem might be termed the "common denominator" problem--which derives from the differences in the amount of budget detail provided in the various state budgets. The FY 1983-84 Arkansas State Budget, for instance, was presented in a pamphlet with 55 pages, while the FY 1983-84 South Carolina state budget comprised over 1,500 pages in two weighty volumes. Expenditure items and revenue detail that were contained in the South Carolina budget simply did not exist in Arkansas'. Generally, fiscal data readily available in program or performance budgets were unavailable in line-item budgets, and vice versa. Thus, one's research strategy in an expenditure study would be constrained by the lowest common denominator--the amount of detail in the least detailed budget.

Second, five types of capital budgeting methods were found to be in use in the 50 states and DC. The practical problem raised by the use of these various capital budgeting formats concerned the 10 states that integrated some of their capital expenditures into their regular operating budgets. To ensure comparability across states, the portion of the capital budget that was contained in the regular operating budget would have to be subtracted from the operating expenditures in these 10 states before comparing operating expenditures to those in the other 41 states. Fringe benefit costs which were separated from MR/DD budget units would also have to be added to MR/DD operating expenditures in several states.

Third, state budget documents reported expenditure figures which had different levels of reliability. Empirical problems were relatively slight as long as the data used for an analysis were based on actual expenditures, revised appropriations, or on appropriated funds in most instances. Finally, approximately two-thirds of the states reported a breakdown of state general revenue funds, federal funds, and other state funds at the program level of analysis. Although this variation in state budget documents did not pose as much of a conceptual problem as the variations outlined above--given the supplementary methodology of making direct contact with state administrators--it did pose a problem, as Caiden (1978) had warned, in terms of the time and labor it would take to complete a nationwide study.

The utility of studying public expenditures for MR/DD programs in the states is clear for further and for future analysis. It permits analysis of the fiscal consequences of deinstitutionalization and community integration to begin. The question of whether the pronounced shift in transferring _people_ with developmental disabilities from institutional to community settings has been followed by a corresponding shift in _funding_ from institutional to community programs can and must now be addressed.

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CHAPTER 2

ADMINISTRATION OF MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES PROGRAMS II: STATE AGENCY ORGANIZATION

In 1854, President Franklin Pierce vetoed a bill, championed by Dorthea Dix, to set aside 10 million acres of federal land for the care of persons with mental disabilities (Congressional Globe, 1854). Congress was unable to override the veto, and for more than a century thereafter institutional care of mentally disabled individuals was almost totally a state government responsibility.

> If the streets are not paved, if order is not maintained, if wasteful practices prevail in other fields, the ordinary citizen suffers, in his comfort, his safety, his pocket-book. He suffers and he knows it. If these benevolent or welfare institutions and agencies are more unskillfully and incompetently administered... the citizen may not know. The argument for provision of continuous skillful supervision with regular honest reporting becomes therefore persuasive (Breckinridge, 1927, p. 559).

Sixty years ago, Professor Breckinridge thus identified one of the two major stimuli for the creation of departments of public welfare in the states, the other stimuli being the perceived "economy and efficiency" of centralized state administration. The term "public welfare," in fact, was first used to describe a department of state government in 1917, the year the Illinois Civil Administrative Code was adopted. Public welfare departments in the states had gradually replaced state boards of charity. The first charity board was established in 1863 by Massachusetts (Act, 1863). The boards, operating in 36 of the 48 states by 1913, unified supervision of the scores of residential care institutions for the "dependent classes" in the states, and addressed perceived weaknesses in their local administration.

Massachusetts in 1919 was the first state to establish a department of "mental diseases" (Acts, 1919). Between 1919 and the early 1960s, the majority of states created departments of mental health, and subsequently, many created divisions within these agencies to administer mental retardation programs. According to Gettings & Ziegler (1973), states exhibited great diversity in their centralized organizational structures for delivering mental retardation services in the 1970s and many also established specialized substate organizations such as regional offices and county units.

Several researchers have noted the dearth of published information about contemporary state mental retardation service systems (Bruininks & Lakin, 1985; Gettings & Ziegler, 1973; Gettings, 1976), and the recent expansion in community-based services throughout the United States (Braddock, Hemp, & Howes, in press; Castellani, in press; Hill & Lakin, 1984; Janicki, Mayeda, & Epple, 1983; Hauber, Bruininks, Hill, Lakin, Scheerenberger, & White, 1984). To in part address the lack of published information, this Chapter persents the results of the organizational analysis component of a nationwide study of public expenditures for mental retardation and related developmental disabilities (MR/DD) in the United States.

To gather and analyze comparable state-by-state MR/DD financial data, the investigators had to resolve a number of perplexing methodological questions pertaining to state government accounting and organizational characteristics. Understanding these characteristics was an essential first step in planning the subsequent collection of MR/DD expenditure data, and had relevance as well for planning future studies of budgeting and administration in the states for other governmental services.

METHOD

Two basic units of analysis in organizational research are the agency (or department) and the program. Programs are the basic unit of public policy, while agencies (or departments) are administrative amalgams of two or more programs which serve as an organizational framework for program management (McKean & Anshen, 1965; Natchez & Bupp, 1973). The difference between these two concepts extends to substance as well as form. Programs must routinely engage in a more competitive struggle for public funding, and incremental decision rules appear to describe agency level spending better than they describe program level expenditures (Edwards & Sharkansky, 1975; LeLoup, 1979). As Natchez and Bupp (1973) observed, "if there is any 'normal state of affairs' in the policy process, it is one of intense competition between programs for public funds" (p. 956). The most salient characteristic of agencies, on the other hand, is their "organizational and budgetary stability." Gist (1982) has argued to the contrary that over sufficiently long periods of time some agencies may exhibit budgetary instability, while certain programs may evidence budgetary stability.

Focusing our analysis on institutional and community services programs in the states, however, anchored our inquiry in the context of deinstitutionalization--the most important service delivery trend in the MR/DD field (Braddock, 1981; Hauber et al, 1984). Implicit in this trend, and reflected in declining institutional populations and increasing placements of individuals in community settings, was the notion of program competition for funds. Our unit of analysis was defined as an organizational construct consisting of the two major (noneducational) state government programs: a) community services, and b) institutional services.

To define organizational visibility in principal state MR/DD program units across states, we introduced a three part typology of administrative position in which the first level was occupied by states having a cabinet level MR/DD department embracing both institutional and community program structures; the second level by those states which integrated institutional and community programs into a single agency, but at a sub-cabinet level; and the third level by those states which disjoined community and institutional programs within separate cabinet level agencies. The cabinet-level locations of MR/DD program units in 1976 were compared with their locations in 1984 using a typology developed by Gettings (1976); and states were classified according to the administrative model they utilized using a schema developed by Gulick and Urwick (1937).

Document Acquisition and Analysis

Two hundred and fifty state government executive budgets spanning the FY 1977-84 period were obtained from research libraries at the Council of State Governments in Lexington, Kentucky, and in Washington, D.C.; at the Center for Research Libraries in Chicago; and directly from the states. At least three annual (or two biennial) budget documents from each of the states were obtained. Relevant MR/DD sections of the budget documents were duplicated and filed on a state-by-state basis at project headquarters in Chicago. A 44-item coding checklist was devised by project staff to assist in making final conceptual and logistical decisions about the ultimate design of the expenditure study, and to gather basic administrative information about the states. The checklist contained questions pertaining to 1) the MR/DD program unit's organizational visibility, 2) the type of cabinet level agency in which MR/DD programs were located, 3) the type of administrative model used to organize the delivery of MR/DD services, 4) the nature of reorganizations undergone by principal MR/DD program units over the past decade and 5) the significance of local government elements in the delivery of services.

Budget documents were content analyzed using the coding checklist (Krippendorf, 1980). Financial and program management officials in state

MR/DD, Medicaid, and social services agencies were also contacted by telephone and through written correspondence to facilitate completion of the checklist. Data from the 51 state and District of Columbia checklists were analyzed for the presence or absence of national trends.

RESULTS

Organizational Visibility: 1984

Five states were identified with cabinet level MR/DD departments in 1984: South Carolina, Connecticut, California, New York, and Ohio. South Carolina's Department of MR, the first in the nation, was formed in 1968 and Connecticut's Department of MR was formed in 1975, followed by New York in 1978, and Ohio and California in 1978. Thus, within the short span of four years, the number of states with cabinet level MR/DD agencies increased from 2 to 5 and the number of individuals served by cabinet level MR/DD agencies increased even more given the size of California, New York and Ohio: since 1978 approximately 25% of the U.S. population has resided in states with cabinet level MR/DD agencies.

The four states with disjoined MR/DD program units were Montana, North Dakota, South Dakota and Wyoming. Institutional services were managed by an institutions department (Montana and North Dakota) or by Boards which also directed correctional services (South Dakota and Wyoming). Community services in the four states were operated by social service agencies, and in Montana and Wyoming these social service agencies also provided other (e.g., rehabilitation, health) services.

The great majority of states, i.e., the remaining 42, integrated MR/DD institutional and community programs administration within a single state agency structure. The single state agencies' structures represented were very diverse and included departments of mental health (13 states), human services or resources (12), health and social services (4), public welfare (3), health (2), institutions (2), and there was one state with each of the following single agency structures: social and rehabilitation services, health and the environment, social services, health and mental hygiene, health and rehabilitation and economic security.

Cabinet Agency Location of State MR/DD Program Units

Writing ten years ago, Gettings (1976) used a 'top-down' approach to categorize the administrative location of MR/DD services in the states. He identified three states that delivered such services under the auspices of the state health department, 14 under the auspices of a mental health or MH/MR department, two under the auspices of an MR/DD Department, 17 under the auspices of an 'umbrella agency' combined with a mental health department, and the balance in umbrella agencies separate from Mental Health or in some other agency (e.g., Social and Rehab Services, Institutions Departments, etc.).

Table I below indicates the comparative cabinet level agency location for principal state MR/DD program units in 1976 and 1984. The former locations are based on Gettings' (1976) classifications. As illustrated, while there have been a number of shifts in the location of principal state MR/DD program units across categories of cabinet level agencies, the overall distribution of locations has changed little since 1976.

The most notable change occurred in the number of MR/DD cabinet level agencies, which, as previously noted, increased from two to five. Thirteen principal state MR/DD program units, in 1984, were located in Mental Health agencies as compared to 14 identified Gettings (1976). Four states in the Northwest--North Dakota, South Dakota, Montana, and Wyoming (1980) split

TABLE 1
ADMINISTRATIVE POSITION OF STATE MR/DD PROGRAMS IN 1976 AND 1984

STATE (I,C)*	CABINET AGENCY - 1984	MR/DD PROGRAM UNIT NAME	CABINET LOCATION IN 1976
MENTAL RETARDATION & DEVELOPMENTAL DISABILITIES:			
CA (I)	MR/DD	Department of Developmental Services	UMBRELLA, WITH MH
CA (C)	MR/DD	Department of Developmental Services	UMBRELLA, WITH MH
CT	MR/DD	Department of Mental Retardation	**
NY	MR/DD	Office of MR/DD	MENTAL HYGIENE
OH	MR/DD	Department of MR/DD	MH
SC	MR/DD	Department of Mental Retardation	**
MENTAL HEALTH:			
AL	MH	Mental Retardation Services	**
IL	MH/DD	Division of Developmental Disabilities	**
IN	MH	DD Division; State Hospitals	**
ME	MH/MR	Bureau of Mental Retardation	UMBRELLA, WITH MH
MA	MH	Division of Mental Retardation	**
MI	MH	Office of Program Dev. & Support Services	**
MS	MH	Bureau of Mental Retardation	**
MO	MH	Division of MR/DD	**
RI	MH,MR & HOSPITALS	Division of Mental Retardation	**
TN	MH/MR	Mental Retardation Services	**
TX	MH/MR	Mental Retardation Services	**
VT	MH	Community MR Pgms; Brandon Trng. Sch.	UMBRELLA, WITH MH
VA	MH/MR	Division of Mental Retardation	**
HEALTH:			
HI	HEALTH	Community Serv. Branch; Waimano St. Sch.	**
WV	HEALTH	DD Serv. Pgm., Off. of Behavioral Health	MH
UMBRELLA AGENCY, COMBINED WITH MENTAL HEALTH:			
AK	HEALTH,SOCIAL SERVICES	DD Section, Division of MH/DD	**
GA	HUMAN RESOURCES	MR Serv. Section, Division of MH/MR	**
IA (I)	HUMAN SERVICES	Division of MH/MR/DD (Insts., Grants & Standards)	**
IA (C)	HUMAN SERVICES	Division of MH/MR/DD (Comm. Support)	UMBRELLA, SEP. FROM MH
KS	SOCIAL & REHAB SERVICES	MR Services, Division of MH/MR Services	**
KY	HUMAN RESOURCES	Comm. MH/MR; Inst. MH/MR	**
MD	HEALTH,MENTAL HYGIENE	MR/DD Administration	**
MN	PUBLIC WELFARE	Div. of Retard.; Res.Fac.Div.; in MH	UMBRELLA, SEP. FROM MH
NV	HUMAN RESOURCES	Division of Mental Hygiene & Mental Retard.	**
NH	HEALTH & WELFARE	Office of DD, Division of MH/DD	**
NC	HUMAN RESOURCES	Division of MH/MR	**
OR	HUMAN RESOURCES	Local MH/MR; State-operated MH/MR in Div. of MH	**
WI	HEALTH,SOCIAL SERVICES	Div. of Comm. Serv.; Div., Care & Treat. Fac.	**
UMBRELLA AGENCY, SEPARATE FROM MENTAL HEALTH; OTHER:			
AZ	ECONOMIC SECURITY	Division of DD/MR	**
AR	HUMAN SERVICES	Developmental Disabilities Services	**
CO	INSTITUTIONS	Division for Developmental Disabilities	INSTITUTIONS
DE	HEALTH,SOCIAL SERVICES	Division of Mental Retardation	**
DC	HUMAN SERVICES	MR/DD Administration	UMBRELLA, WITH MH
FL	HEALTH & REHAB SERVICES	Developmental Services Program Office	**
ID	HEALTH & WELFARE	Division of Community Rehab Services	**
LA	HUMAN RESOURCES	Office of MR/DD	**
NE	PUBLIC INSTITUTIONS	Office of Mental Retardation; State School	UMBRELLA, WITH MH
NJ	HUMAN SERVICES	Division of Developmental Disabilities	**
NM	HEALTH & ENVIRONMENT	DD Bureau, Behavioral Health Services Division	INSTITUTIONS
OK	HUMAN SERVICES	Division of DD/MR	**
PA	PUBLIC WELFARE	Office of Mental Retardation	**
UT	SOCIAL SERVICES	Division of Services to the Handicapped	**
WA	SOCIAL & HEALTH SERVICES	Divison of Developmental Disabilities	**
DISJOINED, IN SEPARATE CABINET AGENCIES:			
MT (I)	INSTITUTIONS	MH & Residential Services Division	**
MT (C)	SOCIAL & REHAB SERVICES	DD Program Office	INSTITUTIONS
ND (I)	INSTITUTIONS	Grafton/San Haven	HEALTH
ND (C)	HUMAN SERVICES	DD Office, Division of MH/MR	HEALTH
SD (I)	BD. OF CHARITIES, CORRECT.	Two State Institutions	UMBRELLA, WITH MH
SD (C)	SOCIAL SERVICES	Office of Developmental Disabilities/MH	UMBRELLA, WITH MH
WY (I)	BD. OF CHARITIES, REFORM	State Training School	INSTITUIONS
WY (C)	HEALTH, SOCIAL SERVICES	Community Program Division	UMBRELLA, WITH MH

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* I=Institutional Services Program; C=Community Services Program

** Same Cabinet Level Agency as in 1984

their principal program unit by assigning the MR community services program to one cabinet level agency and the MR institutional services program to another.

In West Virginia, the mental health (MH) and MR programs were moved from the Department of Human Services to the Health Department in a general reorganization of state government mandated by Governor Rockefeller. In Maine, a separate MH/MR agency was created by removing the Corrections component from the old Department of MH, MR, and Corrections. In Iowa, the MR community program, which was formerly a separate program in the Department of Social Service was combined into the MH/MR Division in the Department of Human Services. In Minnesota, the MR programs, which formerly were separate from MH in the cabinet level Department of Public Welfare were combined with the MH programs. In New Mexico, MR programs were removed from the Department of Institutions and placed in an umbrella agency.

Administrative Models

According to Gulick & Urwick (1937), the structure of administrative organization is allocated according to four basic principles: purpose, service, place, and clientele. In the MR/DD field, the client-based and service-based principles predominate. In a client-based administrative model, the type of clientele served takes precedence as an organizing principle over the type of service provided, while, in a service-oriented administrative model, the type of service provided takes precedence as an organizing principle. Thus, in a state that uses the client-based organizational principle, both the community and institutional MR/DD programs would be located in the same agency. In a state that employs the service-oriented organizational principle, the MR/DD community services program would be located in a generic community services agency, perhaps along with mental health and substance abuse community programs; and likewise for the institutional program.

Forty-two of the fifty-one states in FY 1984 used either a client-based or a service oriented administrative model to organize their principal state MR/DD program units. Slightly over half (52%) of the states used a client-based administrative model, while approximately one-third (16) used a service-oriented administrative model. These were AL, GA, IA, KY, MI, MS, NV, NH, NC, OK, OR, TX, UT, VT, WV, and WI. Only 8 states used a combination of the client-based and service oriented administrative models and these states were all located in the Midwest and West (IN, MN, MO, MT, NE, ND, SD and WY).

Reorganizations

Cross-sectional variations in principal state MR/DD program units were further complicated by changes in states over time. As Gettings (1976) noted, "of the 51 jurisdictions, 43 states plus the District of Columbia had undergone at least one major reorganization of state MR services over the past 15 years." In addition, "29 states plus D.C. have made major realignments in state mental retardation services over the past 5 years..." (p. 6). Although Gettings (1976) did not explicitly define the meaning of a major reorganization, we defined these as consolidations, relocations, or separations of community and institutional programs which changed the administrative model employed, or which changed the relative hierarchical location of the principal state MR/DD agency or subcomponent programs.

Fourteen states underwent a major reorganization between FYs 1977 and 1984. The reorganizations that occurred are briefly described in the Table below.

TABLE 2

REORGANIZATIONS IN STATE MR/DD AGENCIES, FYs 1977-84

STATE	YEAR	NATURE OF REORGANIZATION
ELEVATION OF MR/DD PRINCIPAL STATE AGENCY OR PROGRAM		
CALIFORNIA	1978	Department of Developmental Services created
D. C.	1980	MR/DD Administration created in Human Services Department
HAWAII	1978	Community Services elevated to Branch in Health Department
MAINE	1982	Department of MH/MR created
NEW YORK	1978	OMR/DD created
OHIO	1978	Department of MR/DD created
OKLAHOMA	1983	Division of DD created
UTAH	1980	Division of Services to the Handicapped created
DIMINISHED STATUS OF MR/DD PRINCIPAL STATE AGENCY OR PROGRAM		
W. VIRGINIA	1977	MR programs moved to Health Department
ADMINISTRATIVE MODEL CHANGED		
KANSAS	1981	Admnistrative model changed to client-oriented
KENTUCKY	1982	Administrative model changed to service-oriented
OKLAHOMA	1980	Administrative model changed to client oriented
OREGON	1977-8	Administrative model changed to service-oriented
WISCONSIN	1979	Administrative model changed to service-oriented

Eight states attained higher visibility for MR/DD programs: California, New York and Ohio elevated the principal state agency from division status to cabinet level. Maine, Oklahoma and the District of Columbia had a hierarchical change from a sub-division to division level, while Hawaii and Utah services were elevated from below the sub-division level to sub-division status. Administrative model changes which occurred in Kentucky, Oregon and Wisconsin were all from a client-based structure to a service-oriented model, while Kansas and Oklahoma changed in the opposite direction.

There were a number of minor reorganizations which affected MR/DD programs in the states. For example, in Illinois and in Ohio, state-funded regional offices providing support to community services were centralized; in Rhode Island, two separate community programs were merged into a single program.

The Role of Local Governments

Another major dimension along which principal state MR/DD program units varied had to do with the role of local, metropolitan, and county levels of government in the provision of services to the MR/DD populations of the states. Although the task of detailing sub-state government operations was beyond the scope of the study, we identified in the budget documents and through interviews with state policy officials a number of states in which local governments played a significant role either in delivery of basic services or in provision of fiscal support for the operation of MR/DD services at the local level.

According to the Council of Governments (1977), 31 states had provisions for making state payments, usually on a matching basis, to local units of government for the support of mental health and/or MR/DD programs. In those states where local units of government did play such a role, the state generally handled overall coordination and management of community and institutional services, while the counties or other local units of government provided often substantial amounts of matching funds for program operation.

In Texas, for example, there were 31 local MH/MR centers operating community programs for MR/DD people. State grants-in-aid provided approximately 50% of the funding for these centers with the remaining funds coming from Title XIX (Medicaid), city and county taxes, and fees and donations. In Michigan, 55 local Mental Health Boards upon being accredited as "full management boards" received lump-sum appropriations from the state (matched on a 10% basis by local funds) to finance the care of local area MR/DD residents in both community and institutional settings. In Iowa, a portion of state MR/DD funding was allocated directly to the counties which managed community services programs. Other states identified with particularly active local or county based systems included Ohio, Minnesota, and California.

DISCUSSION AND CONCLUSION

Among the findings concerning the cabinet level agency location of the principal state MR/DD program units, the types of administrative models used to organize such services, the role of local units of government in MR/DD service delivery, and the types of reorganization undergone by these units, several stand out. First, the increase in the number of cabinet level MR/DD Departments must be stressed. Not only has the number of such agencies increased, but two of the states which instituted such departments, New York and California, have long been regarded among the nation's bellwether states which predict trends in other states. The fact that one-fourth of the nation's population now resides in a state with a cabinet-level MR/DD agency also demonstrates the considerable political strength of MR/DD constituencies. Second, a general trend toward greater organizational visibility for the MR/DD unit--especially the community services program component--was evident in the states over the last decade. Enhanced organizational visibility for MR/DD administrative structures would likely be reflected in the availability of more detailed fiscal output measures on MR/DD program activities.

A third important finding is that, as the trend toward umbrella agencies in state government has abated, the relocation of key institutional and community services program units in different cabinet level agencies appeared to be in the direction of alignment with mental health departments, either in an umbrella agency with mental health or in a separate mental health department. This continues the trend begun in 1919 in the state of Massachusetts. The same interpretation can also be applied to the reorganization of principal state MR/DD program units. Kansas and Oklahoma, reorganized their agencies to conform to a client-based model; three other states, Oregon, Kentucky, and Wisconsin changed from the client-based model (MH and MR/DD) to one where organization was by type of service (institutional, community).

We concluded that as originally theorized, the practical problems that would arise in an analysis of MR/DD expenditures through the course of an organizational change could be minimized by concentrating on the program level of analysis, i.e., on institutional program funding and community program support. Moreover, it was clear that in the maze of administrative reorganizations, the financial status of MR/DD community and institutional services over time would have to be evaluated with the aid of knowledgeable state administrators and in conjunction with available state budget documents. Methodological problems would inevitably arise in connection with the various types of state budget documents and accounting systems used by the states. The resolution of these methodological problems in state budgeting was discussed in the previous chapter.

In Chapter 3, we will describe trends in actual expenditures in MR/DD institutional and community services programs in the states during FYs 1977-86, and discuss the need for future research on economic and political factors associated with MR/DD spending in the states. This particular administrative study certainly underscores the rather primitive state of our knowledge about state and local government organization for delivering MR/DD services. Given the central role that state governments play in the delivery of MR/DD services in this country, and the recent trend federally to turn over more programmatic responsibilities to them, it is imperative that more extensive organizational studies of state MR/DD service systems be undertaken.

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CHAPTER 3

ADMINISTRATION OF MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES PROGRAMS III: STATE SPENDING FYs 1977-86

In the two preceding chapters, we described organizational and budgeting characteristics in the states with respect to the delivery of mental retardation and developmental disabilities (MR/DD) services. The primary purpose of the two preceding chapters was to describe the administrative context in which funds were deployed for MR/DD programs in the states, and to define and resolve certain methodological issues in budgetary research. The specific purpose of this chapter is to identify trends in the actual expenditure of MR/DD funds during FYs 1977-86 and to propose future directions for research.

The role of expenditure studies in the broader field of policy analysis begins with the explicit conceptual linkage between expenditures and public policy. In a theoretical and practical sense, expenditures represent measurable outputs of political systems (Easton, 1965). Because the budgeting of funds occurs in the context of competition for limited resources, the study of budgets is implicitly concerned with the politics of choice (Wildavsky, 1975).

One important choice faced by state governments today relates to the extent to and manner in which they fund state-operated institutions versus alternative community-based services. The rapid growth of community residences nationally since 1977 (Hauber, Bruininks, Hill, Lakin, Scheerenberger, & White, 1984; Janicki, Mayeda, & Epple, 1983) and the decline in institutional populations (Braddock, Hemp, & Howes, 1985) suggest dramatic changes in how states budget for MR/DD services. However, there is little published research available which tracks state MR/DD spending continuously over a period of many years, although several investigators have underscored the need for the collection and analysis of such data (e.g., Braddock, 1974; 1981; Caiden, 1978; Wieck & Bruininks, 1980).

METHOD

In 1982, a study was launched at the University of Illinois at Chicago which undertook the analysis of every state government's published executive budget from FY 1977 to FY 1984 in terms of MR/DD expenditures. Several publications resulted from that effort (Braddock, 1986a, 1986b, 1986c; Braddock & Fujiura, in press; Braddock & Hemp, 1986; Braddock, Hemp, & Howes, 1984; 1986; in press). The present research extends and expands the original study through FY 1986, and is based on the continuing analysis of state budget documents emanating from the 50 states and the District of Columbia during FY 1985 and FY 1986.

Chapters 1 and 2 documented the complex array of methodological issues that had to be surmounted to gather useful MR/DD budgetary data from the states. For example, the program level as opposed to the agency level was selected as the unit of analysis. Actual expenditures, revised appropriations, and appropriations figures were judged to be sufficiently stable indicators of MR/DD spending levels in the states. Extensive consultation with state agency officials was necessary to supplement budget document analysis to verify budget data, and to obtain the necessary revenue and expenditure detail.

Several operational definitions were also adopted to guide data collection and analysis. Institutional services expenditures were defined as all operating funds appropriated from federal and state sources for state-operated institutions, developmental centers, training centers, state schools, and state psychiatric hospital units for individuals with mental retardation and developmental disabilities. Costs of employees' fringe benefits were included in operating costs. Funds supporting group homes on institutional grounds were considered institutional expenditures.

Community services expenditures comprised federal and state spending, exclusive of educational costs, for the purchase of discrete services from community-based agencies that provided habilitation, day training, residential care, respite, case management, and vocational or related programs, and SSI State Supplement payments. Other community-based mental retardation services expenditures supported regional offices in which state government staff were assigned to oversee or develop community-based services. State-operated group homes not in proximity to institutions and federal/state support for private residential services in settings of all sizes, whether or not they were certified as ICFs/MR, were also considered community service expenditures. Support for mentally retarded persons residing in generic nursing homes, however, was not included in the analysis of expenditures, and, unless specifically noted, federal income maintenance payments were excluded.

The following fiscal classification categories were utilized in the analysis of institutional and community expenditures:

INSTITUTIONAL SERVICES FUNDS

  STATE FUNDS
    General Funds
    Other State Funds

  FEDERAL FUNDS
    Federal ICF/MR
    Title XX/SSBG Funds
    Other Federal Funds

COMMUNITY SERVICES FUNDS

- STATE FUNDS
  - General Funds
  - SSI State Supplement
  - Other State Funds

- FEDERAL FUNDS
  - ICF/MR Funds
    - Small Public
    - Small Private
    - Large Private
  - Other Title XIX Funds
    - Title XIX Day Programs
    - Waiver
  - Title XX/SSBG Funds
  - Other Federal Funds

For certain analyses, and as specified below, spending for large congregate 16 + bed privately-operated ICFs/MR were included within the institutional services classification category. This produced a new analytical category: "Large Congregate Care Facilities."

Analysis

Data were analyzed to identify the presence or absence of trends over FYs 1977-86 with respect to spending for institutional and community services in the states, by facility size and sponsorship, by level of government and by revenue source. Trends were also analyzed with respect to the institutional census, and institutional per diem expenditures were computed for each of the 50 states and the District of Columbia. Per diem expenditures in the states for community care were also computed. This was accomplished after incorporating federal income maintenance payments into the nationwide community spending figures. Two MR/DD prevalence assumptions were utilized: 1.6%, and .287% of the general population. The former rate is a generally accepted estimate of the number of individuals with severe developmental disabilities in the general population (Bruininks

& Lakin, 1985), and the latter percentage represents the number of SSI recipients in the U.S. identified in an analysis of a 10% nationwide recipient sample (SSA, 1986). U.S. general population figures were obtained from the Bureau of Economic Analysis (1986a).

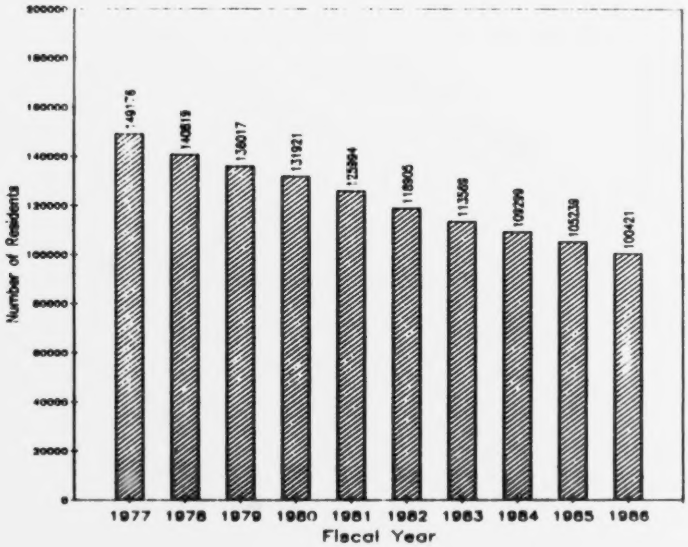
Fiscal effort in the states for FY 1986 was computed by dividing the level of state spending for institutional and community services in a given year by total statewide personal income (Bureau of Economic Analysis, 1983a, 1984, 1986a). All fiscal data were adjusted for inflation using the gross national product implicit price deflator (Bureau of Economic Analysis, 1981, 1983a, 1983b, 1984, 1985, 1986b). Detailed technical notes were prepared for each state describing agency organization, budget document content, and the source of all MR/DD spending figures. State-by-state data were published in a comprehensive publication (Braddock, Hemp, & Fujiura, 1986). A summary of the results of the analysis of nationwide data is presented in this article.

RESULTS

Institutional Spending

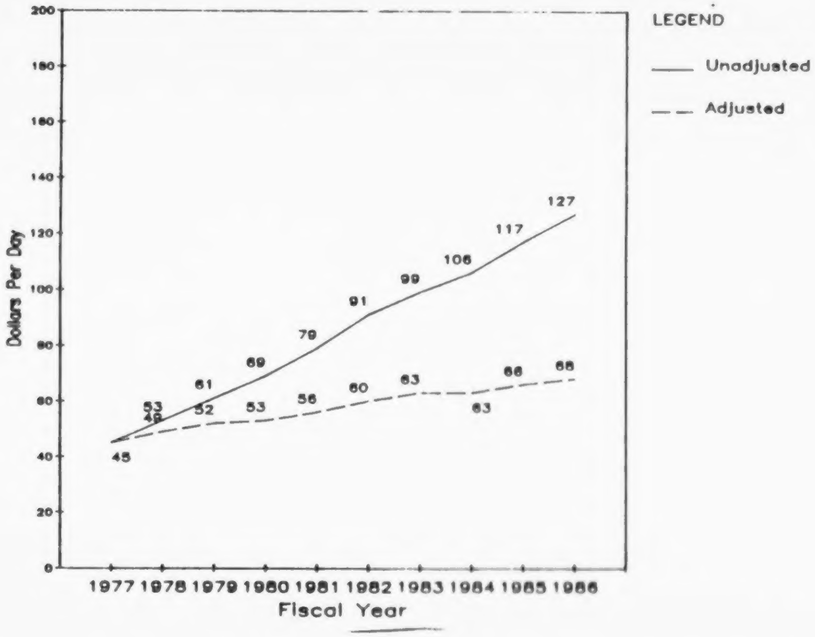
The institutional census continues its steady decline. Between FYs 1977-86, the census declined from 149,176 to 100,421 (Figure 1). This was an average annual decline of 4.30% per year and continued the trend which began in 1967, when the institutional population reached a peak of 194,650 (Lakin, 1979).

Figure 1
Average Daily Residents in Institutions



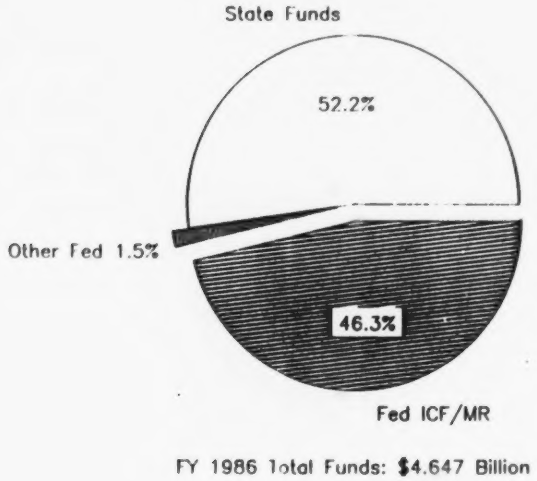
Costs of care in institutional settings climbed from a national average of $44.54 in FY 1977 to $126.79 in FY 1986 (Figure 2). In real economic terms, per diems increased 51.7% (or an annual average of 4.77%) across the decade and grew 6.73% (annually, 3.31%) during FYs 1984-86. Per diems in FY 1986 varied widely among the states, ranging from a high of $307.59 in Alaska to $70.13 in Texas. States with per diems in excess of $175/day included Alaska, Arizona, Connecticut, the District of Columbia, Massachusetts, Michigan and New Hampshire; states with per diems below $100/day included Delaware, Indiana, Louisiana, Missouri, Oregon, South Carolina, South Dakota, Tennessee, Texas, Utah, West Virginia and Wyoming. The remaining states had per diems between $100-$175.

Figure 2
Institutional Per Diem Costs: FYs 1977-86



Total spending for institutional operations reached $4.647 billion in FY 1986. In real economic terms, total spending essentially plateaued during FYs 1977-86, and actually declined 4.80% during FYs 1982-86 (average 1.20% per year). Thus, the basic plateauing trend established across FYs 1977-84 noted by Braddock, Hemp, & Howes (1986) has continued through FY 1986. State-source funding for institutions also continued its steady decline on a nationwide basis through FY 1986, while federal funding, primarily ICF/MR revenues, leveled off during FYs 1984-86. In FY 1977, federal ICF/MR reimbursements constituted 24% of total institutional spending and by FY 1986 the percentage had grown to 46%. Figure 3 illustrates institutional revenue sources in FY 1986.

Figure 3
Institutional Revenue Detail



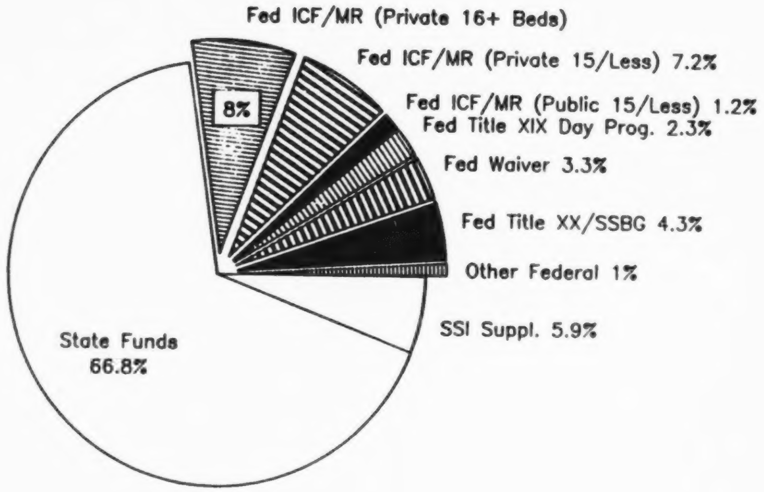
Community Spending

Total spending for community programs nationally continued to climb rapidly, advancing from $.910 billion in FY 1977 to $4.422 billion in FY 1986. These figures, which exclude federal income maintenance payments, but include state supplementation of SSI, represented an average annual rate of growth of 19.3% . About two-thirds of the expenditures in FY 1986 derived from state general funds, another 5.9% from state supplementation of SSI, and the remaining 27% from Title XIX (Medicaid) and the Social Services Block Grant (Figure 4). Real spending for MR/DD services under the SSBG decreased during FYs 1980-86 by 43.5% (average yearly, 8.5%). In contrast, federal ICF/MR reimbursements for community services climbed from $41.273 million in FY 1977 to $728.567 million in FY 1986.

Most ICF/MR reimbursements (87%) were underwriting services in large congregate care facilities with more than 15 beds. In fact, 75% of total ICF/MR funding in FY 1986 was deployed to state-operated institutions. In

FY 1977, the percentage of ICF/MR funds devoted to the support of 16+ bed facilities was 98.5%. Federal support provided under the Title XIX Home and Community-based Services Waiver grew from $1.244 million in FY 1982 to $144.623 million in FY 1986, but FY 1986 Waiver funds represented a proportionately small sum when compared to an ICF/MR commitment level of nearly $3 billion. Revenue sources for community services in FY 1986 is presented in Figure 4.

Figure 4
Community Revenue Detail



FY 1986 Total Funds: $4.42 Billion

Community Per Diem Expenditure

Figure 4 above included state supplementation of SSI as community services revenue, but it excluded the substantial income maintenance programs funded by the Federal Government. Collectively, federal SSI payments and Adult Disabled Child Program (ADC) benefits under Social Security (often termed SSDI or "Childhood Disability") contributed $3.02 billion to the maintenance of MR/DD individuals residing outside public institutions in FY 1986 (SSA, 1986). By factoring these federal income maintenance figures into the community revenue totals presented above, a nationwide MR/DD per diem community expenditure for FY 1986 that was roughly comparable to an institutional per diem was derived.

Community per capita spending was computed using two assumptions about the prevalence of MR/DD in the general population (1.6% and .287%). Results are presented in Table 1. The .287% prevalence rate refers to the actual number of MR/DD persons receiving SSI payments in 1985 (686,000). Community per capita spending ranged between $5.33 and $29.70. This was between 4.2% and 23.4% of the actual FY 1986 nationwide institutional per diem of $126.79.

Table 1

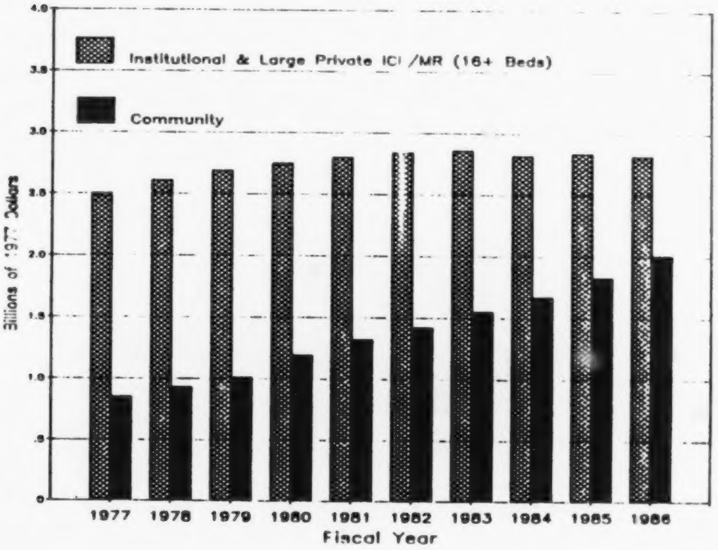
Prevalence Assumption	1985 U.S. Population	Total Community Spending	Community Per Capita
1.6%	239 million	$7.437 billion	$ 5.33
.287%	239 million	$7.437 billion	$29.70

Comparative Analysis of Institutional and Community Spending

In a previous article (Braddock, Hemp, & Howes, 1986), a plateau in adjusted institutional spending nationwide was observed across the FYs 1977-84 period. This trend was unusual historically--a similar trend has not been noted since World War II. On the basis of the FYs 1985-86 data collected in the present study, a gradual decline was discerned in adjusted total institutional spending across FYs 1982-86. In contrast, nationwide spending for community services increased by 42% during FYs 1982-86, and it has increased continuously at a real average annual rate of 11.2% over the past 10 years.

Public resources, however, remain heavily concentrated in large congregate care facilities with more than 15 beds. As illustrated in Figure 5 below, state institutions and large publicly funded privately operated ICF/MR facilities with 16+ beds received the great majority of available resources for MR/DD services over the past decade. Since FY 1983, a gradual decline in public support for large congregate care facilities has been evident, however.

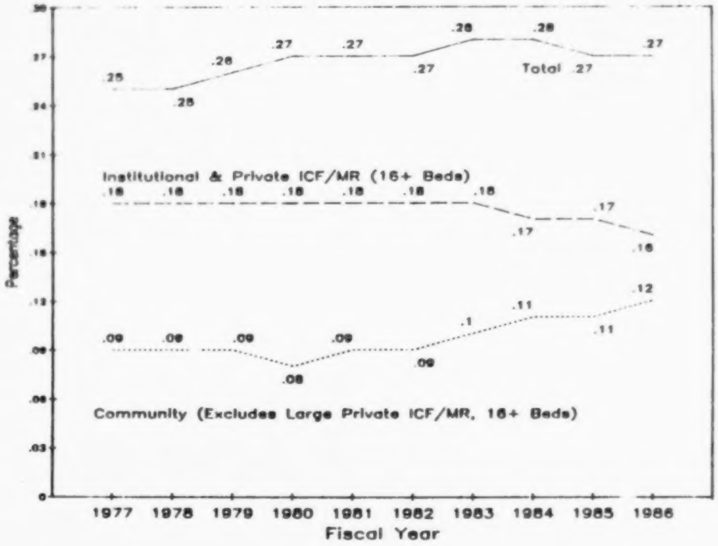
Figure 5
MR/DD Spending for Large Congregate Care, and for "Net" Community Services



Fiscal Effort

As a percentage of aggregate U.S. personal income, total nationwide MR/DD spending was flat during FYs 1983-86, and grew only marginally (12% or an average 1.9% annually) during FYs 1977-83. The overall trend concealed an 11% decline during FYs 1983-86 in total nationwide MR/DD spending for services in large congregate care settings (i.e., in institutions and 16+ bed private facilities). In contrast, a dramatic and continuous climb in nationwide community services fiscal effort, exclusive of 16+ bed ICF/MR facility reimbursements, was noted from FY 1980 through FY 1986. Growth in this "net" community services fiscal effort averaged 10.7% during this seven year period (Figure 6). However, 5 states exhibited a declining level of net community services effort during the FY 1984-86 period: Arkansas, Georgia, Nebraska, Ohio, and Tennessee.

Figure 6
MR/DD Spending as a Percentage of
Personal Income by Facility Size



Continuing consideration of large private ICF/MR facility funding consolidated with institutional expenditures for FY 1986 (i.e. large, congregate care spending), only 13 states expended equivalent or greater sums for the remaining "net" community services they funded. (An unknown but significant portion of the net community services funded in FY 1986 was also associated with placements in large congregate care settings; but states we did not obtain the data for a more detailed spending analysis by facility size.) The 13 states which haved reached or exceeded "parity" between large congregate care facility spending and spending for net community services included Alaska, Arizona, California, Colorado, the District of Columbia, Florida, Indiana, Michigan, Montana, Nebraska, New Hampshire, Rhode Island and Vermont.

These 13 states were also highly rated in terms of the fiscal effort they exhibited in financing community services. As indicated by Table 2, regional leaders were identified. Moving from west to east they included California, Colorado, Nebraska, Michigan, Florida, New York, and Vermont. As a region, New England had the most progressive profile in financing community services. Three New England states were among the top 10 in fiscal effort: Vermont, Maine, and New Hampshire. Michigan also continued its rapid transformation from an institution-dominated service system to one dominated by small-scale community-based services. For additional discussion on financing community services in Michigan and Nebraska, see Braddock, Hemp, & Howes (in press). The issue of "parity" in spending for institutional and community serivces programs is discussed in greater detail in Braddock (1986b).

Fiscal effort rankings in FY 1986 for each of the 50 states and the District of Columbia are presented below in Table 2 for large congregate care services, net community services, and both settings combined. These rankings are based on MR/DD spending levels in the states divided by aggregate statewide personal income. The states' FY 1984 ranking is presented parenthetically.

DISCUSSION AND CONCLUSION

The single most important budgetary trend evident during FYs 1977-86 was the dramatic growth of spending in the states for community services. In contrast, even though institutional per diems continued to rise, the institutional sector was contracting proportionately with respect to total MR/DD spending, and absolutely when expressed in real economic terms. Excluding federal income maintenance payments, the nation expended 2 1/2 times as much for institutional care in FY 1977 as it did for community services in facilities of all sizes; but in FY 1986, the nation was spending approximately equal sums in both sectors, $4.647 billion vs. $4.422, respectively.

The ICF/MR Program

Services for individuals with mental retardation and developmental disabilities were predominately provided in large congregate care settings. Indeed, a second striking finding of the study was that fully 87% of all federal reimbursements budgeted under the ICF/MR Program in FY 1986 was associated with large 16+ bed congregate care settings. Seventy-five percent of FY 1986 ICF/MR reimbursements supported care in state-operated institutions; and only 9 states were budgeting 25% or more of their total available ICF/MR resources in FY 1986 for small 15-bed or less facilities. The states were Alaska (37%), Connecticut (31%), the District of Columbia

TABLE 2

MR/DD Spending in FY 1986 & 1984 as a Share of Personal Income, Ranked By State

1986 (1984)	Rank Community - Large Private ICF/MR/ Personal Income	Rank Institutional + Large Private ICF/MR/ Personal Income	Rank Total MR/DD Spending/ Personal Income
RHODE ISLAND	1 (1)	23 (15)	5 (3)
NORTH DAKOTA	2 (18)	1 (1)	1 (4)
DIST OF COLUM	3 (6)	19 (12)	6 (8)
VERMONT	4 (2)	21 (19)	8 (5)
MICHIGAN	5 (7)	47 (39)	16 (20)
NEW HAMPSHIRE	6 (4)	37 (34)	11 (11)
MINNESOTA	7 (5)	8 (2)	2 (2)
NEW YORK	8 (3)	4 (4)	4 (1)
PENNSYLVANIA	9 (9)	14 (9)	10 (7)
MAINE	10 (11)	10 (6)	7 (6)
MONTANA	11 (8)	32 (33)	15 (14)
CONNECTICUT	12 (23)	2 (3)	3 (10)
MASSACHUSETTS	13 (12)	6 (5)	9 (9)
SOUTH DAKOTA	14 (13)	15 (14)	14 (13)
ALASKA	15 (22)	49 (50)	36 (39)
NEBRASKA	16 (10)	38 (29)	25 (17)
WYOMING	17 (19)	11 (11)	13 (12)
CALIFORNIA	18 (15)	40 (41)	32 (32)
WISCONSIN	19 (14)	16 (18)	20 (15)
NEW JERSEY	20 (24)	13 (16)	17 (18)
MARYLAND	21 (25)	39 (38)	30 (35)
GEORGIA	22 (17)	29 (36)	23 (26)
OHIO	23 (16)	27 (25)	22 (22)
IDAHO	24 (20)	33 (31)	28 (24)
COLORADO	25 (21)	44 (43)	40 (36)
LOUISIANA	26 (35)	5 (7)	12 (16)
INDIANA	27 (31)	46 (48)	42 (45)
FLORIDA	28 (30)	48 (47)	45 (44)
WASHINGTON	29 (29)	22 (27)	24 (29)
MISSOURI	30 (26)	41 (46)	43 (43)
DELAWARE	31 (50)	26 (23)	27 (37)
ILLINOIS	32 (27)	35 (30)	35 (31)
ARIZONA	33 (32)	50 (49)	48 (47)
OREGON	34 (37)	28 (20)	31 (28)
SOUTH CAROLINA	35 (36)	7 (10)	18 (21)
NEW MEXICO	36 (33)	34 (26)	38 (33)
UTAH	37 (43)	18 (21)	29 (30)
IOWA	38 (28)	24 (22)	33 (25)
MISSISSIPPI	39 (34)	3 (8)	19 (19)
NORTH CAROLINA	40 (38)	9 (13)	21 (23)
KENTUCKY	41 (44)	45 (44)	47 (48)
KANSAS	42 (40)	20 (24)	34 (34)
ARKANSAS	43 (39)	12 (17)	26 (27)
HAWAII	44 (42)	43 (42)	50 (46)
WEST VIRGINIA	45 (48)	42 (45)	49 (49)
TENNESSEE	46 (41)	30 (37)	41 (42)
NEVADA	47 (49)	51 (51)	51 (51)
ALABAMA	48 (47)	25 (28)	39 (38)
VIRGINIA	49 (45)	31 (35)	44 (41)
TEXAS	50 (46)	36 (32)	46 (40)
OKLAHOMA	51 (51)	17 (40)	37 (50)

(48%), Florida (27%), Indiana (44%), Michigan (44%), Minnesota (29%), North Dakota (25%), and Rhode Island (45%). No state budgeted as much as 50% of its total ICF/MR resources for 15-bed or less facilities. The large congregate care facility is the dominant ICF/MR service model being used in the states.

In 1982, Lakin & Hill (1984) identified 9,714 residents of small 15-bed or less ICF/MR funded group homes in the U.S. This was about 7% of all ICF/MR residents served that year. According to our financial data, 7.1% of total ICF/MR expenditures in 1982 were associated with those 9,714 placements. The data gathered in the present study indicated that 13.0% of the money budgeted in the ICF/MR program in FY 1986, or $372 million, was being used to support care in 15 bed-or-less facilities. Imputing from these financial and client data (7.1:9,714 = 13.0:x), we concluded that approximately 17,786 persons resided in small ICFs/MR on June 30, 1986. This is surely indicative of the continuing expansion of smaller scale living environments for MR/DD people under ICF/MR auspices.

The ICF/MR Program was authorized by Public Law 92-223 in 1971. During the first full fiscal year of operation (1972), $36.9 million was budgeted for reimbursements in state-operated institutions. In FY 1986, $2.9 billion was projected by the states for federal reimbursement, and the states themselves provided another $2.3 billion in matching funds. Thus, this single federal program was directly responsible for $5.2 billion in state-federal MR/DD expenditures, and this sum represented one-third of total annual public (federal, state, local) spending for MR/DD activities in the United States (Braddock & Hemp, 1986). Federal ICF/MR spending also constituted three-fourths of all federal expenditures for MR/DD services in FY 1985 (Braddock, 1986a).

Although ICF/MR support for care in state-operated institutions is widely recognized to be extensive, e.g. Hill & Lakin (1984), it is surprising that so much of the Program's resources (74%) was associated with an activity, which, prior to P.L. 92-223's enactment in 1971, was solely the responsibility of the states. In a hierarchical multiple regression analysis, Braddock and Fujiura (in press) recently found a strong *inverse* relationship (Beta coefficient = -.653) between the extent of federal ICF/MR support and state funding for institutions. In other words: *the more money spent by the Federal Government to support institutions, the less being spent by the states*. Given the potentially much larger constituencies for MR/DD services existing *outside* state-operated institutions (Table 1), and the continuing and inexorable decline of the institutional census, the contemporary budgeting of ICF/MR reimbursements predominanty *inside* institutions would seem to be an anachronism. Certainly, careful research to identify political and economic determinants associated with the relative dominance of funding for institutional services is warranted.

Future Research

As noted in the second chapter, two of the basic units of analysis in organizational research were the agency (or department) and the program. Individually, institutional program spending and community program spending were found in this study to vary substantially from year to year, but their budgeting in the aggregate, which often constituted total agency (or department) level MR/DD expenditures, followed more incremental decision rules. Thus, for MR/DD funding in the states over the recent 10-year period, budgetary incrementalism typically applied at the agency level, but not at the program level. This supports the general findings of Natchez and Bupp (1973) in the political science literature.

This study has addressed some important methodological problems in budgetary research and has provided a foundation for the continuing collection and analysis of MR/DD expenditure experience in the states. But most importantly, it has helped to provide advocates and policy makers with the tools and the information to evaluate the depth of their states' political commitments to the financing of MR/DD services.

In future research, we must squarely face the fundamental question implicitly raised in the present study: why are there such extreme variations in state funding patterns for and commitments to community services? In the aforementioned multiple regression analysis, Braddock and Fujiura (in press) found that states' overall size (population) or wealth (personal income) failed to predict progressive MR/DD spending policies in the states. Why, for instance, does Nebraska's level of effort in community spending so dramatically exceed Kansas' and Missouri's? Why is Illinois so far behind neighboring Minnesota, Michigan, and Ohio in providing financial support for community services? What political and economic factors are associated with progressive financing policies in the states? Can advocates influence these factors, and if so, how? Answers to these questions will not be found in the existing mental retardation literature nor in the political science or economics literature on comparative state policy research. MR/DD policy in the states is driven by a unique configuration of political and economic forces, and it behooves the research community to seek a deeper understanding of them.

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PART TWO: NATIONAL CHART SERIES, FYs 1977-86

Section 1: United States Chart Series

Section 2: Major Federal Revenue Programs

Section 3: Institutional Services Data

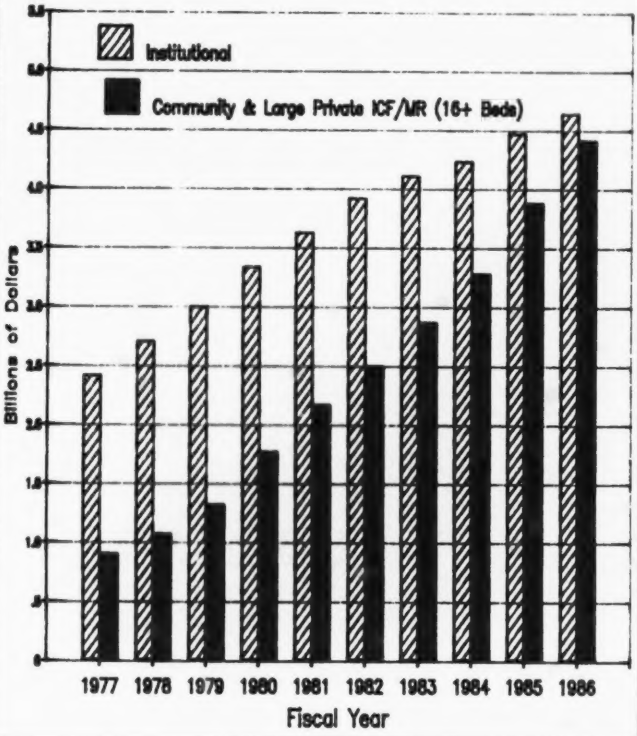
Section 4: Comparative Measures of State Fiscal Effort

Section 1: United States Chart Series

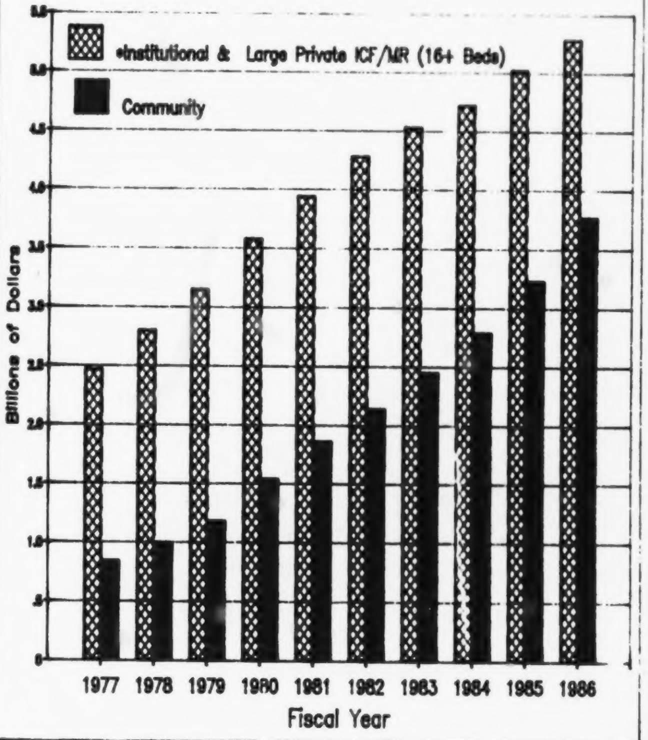
MR/DD Expenditures for Institutional & Community Services, Unadjusted & Adjusted
MR/DD Expenditures for Large Congregate & Community Services, Unadjusted & Adjusted
Institutional Spending by Level of Government In Real Economic Terms: FY 1977-86
Institutional Revenue Detail: FY 1986 (Unadjusted)
Institutional Per Diem Costs: FY 1977-86
Average Daily Residents in Institutions: FY 1977-86
Community Spending in Real Economic Terms: FY 1977-86
Community Revenue Detail: FY 1986 (Unadjusted)
Federal ICF/MR Funding by Facility Setting: FY 1977 & FY 1986
Federal ICF/MR Funding by Facility Size: FY 1977-86
Personal Income in the United States
Total MR/DD Spending in the United States
MR/DD Spending as a Percentage of Personal Income
MR/DD Spending as a Percentage of Personal Income by Facility Size

United States MR/DD Expenditure Spreadsheet

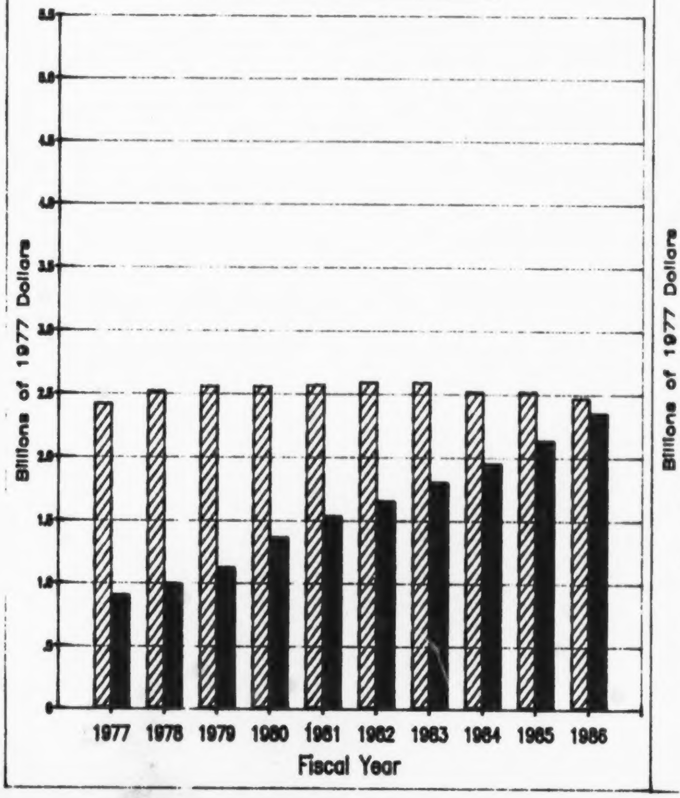
MR/DD Expenditures for *Institutional* & *Community* Services



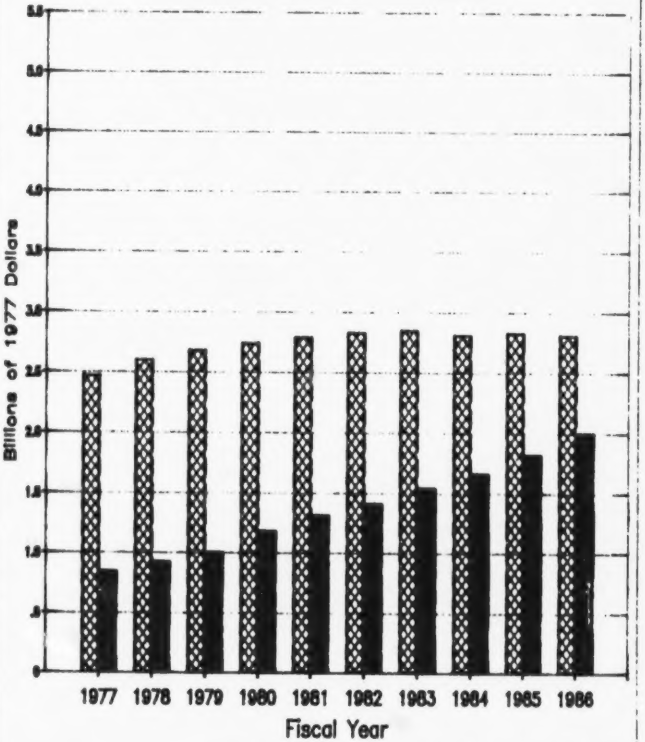
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



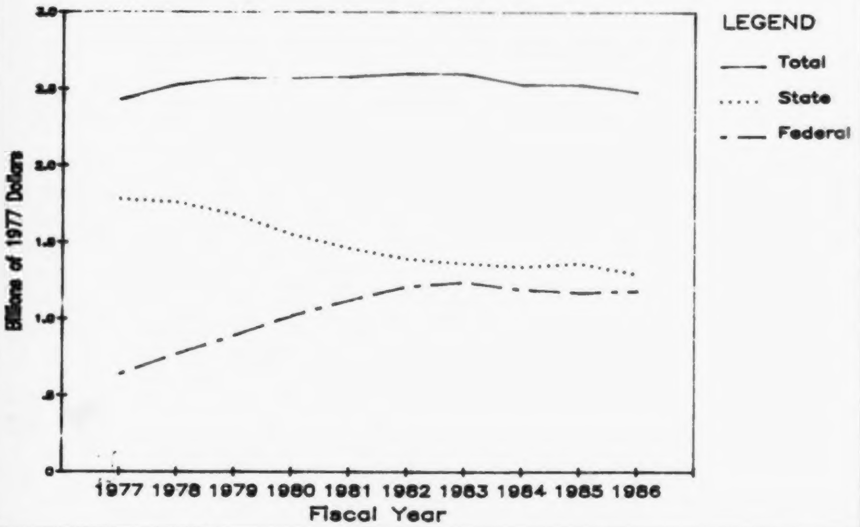
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

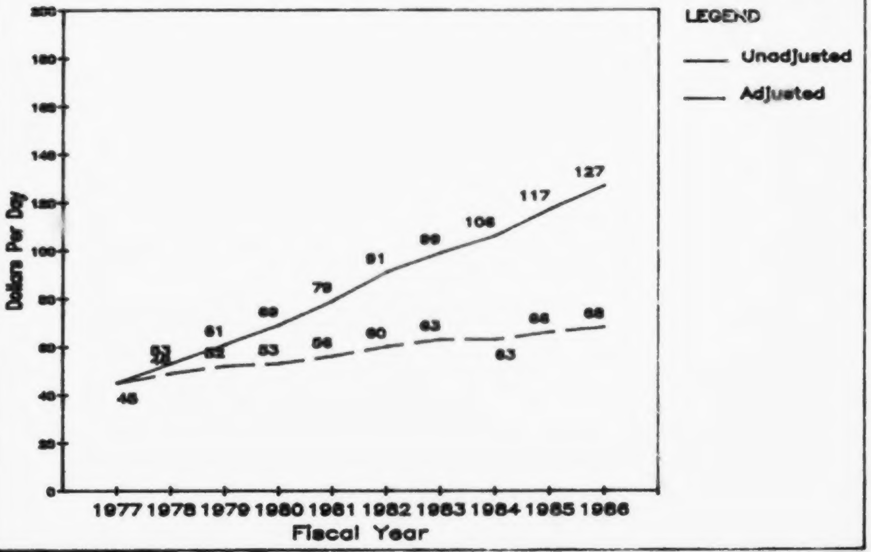
UNITED STATES

Institutional Spending by Level of Government In Real Economic Terms: FY 1977–86

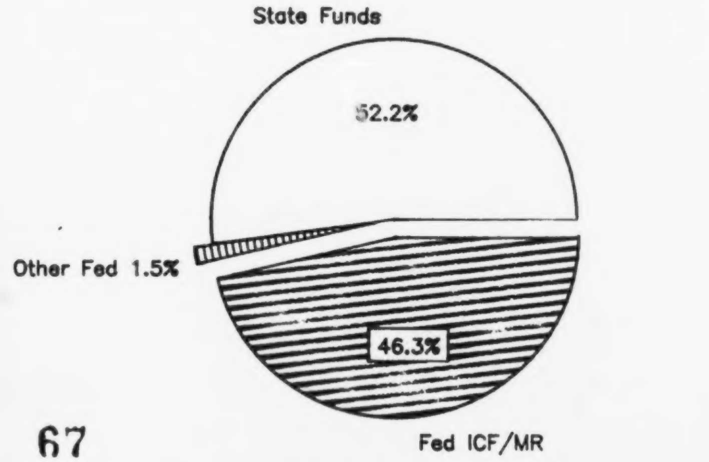


UNITED STATES

Institutional Per Diem Costs: FY 1977–86

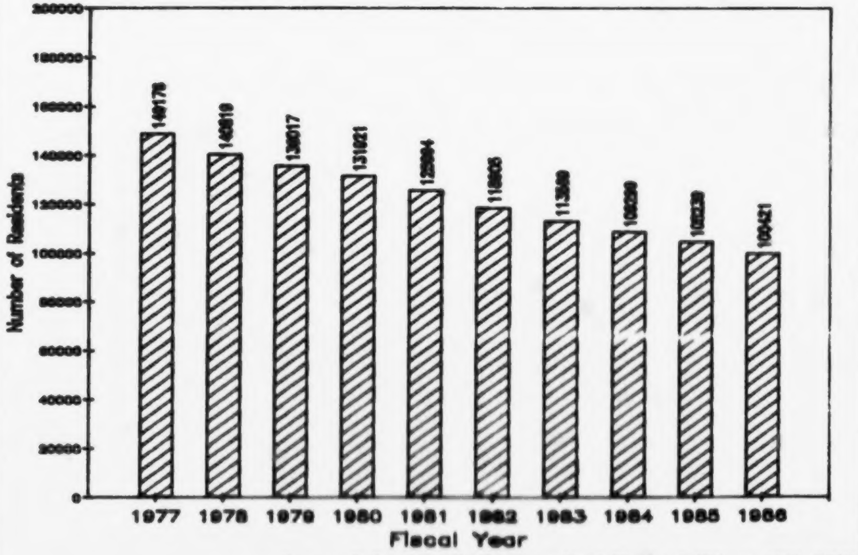


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $4.647 Billion

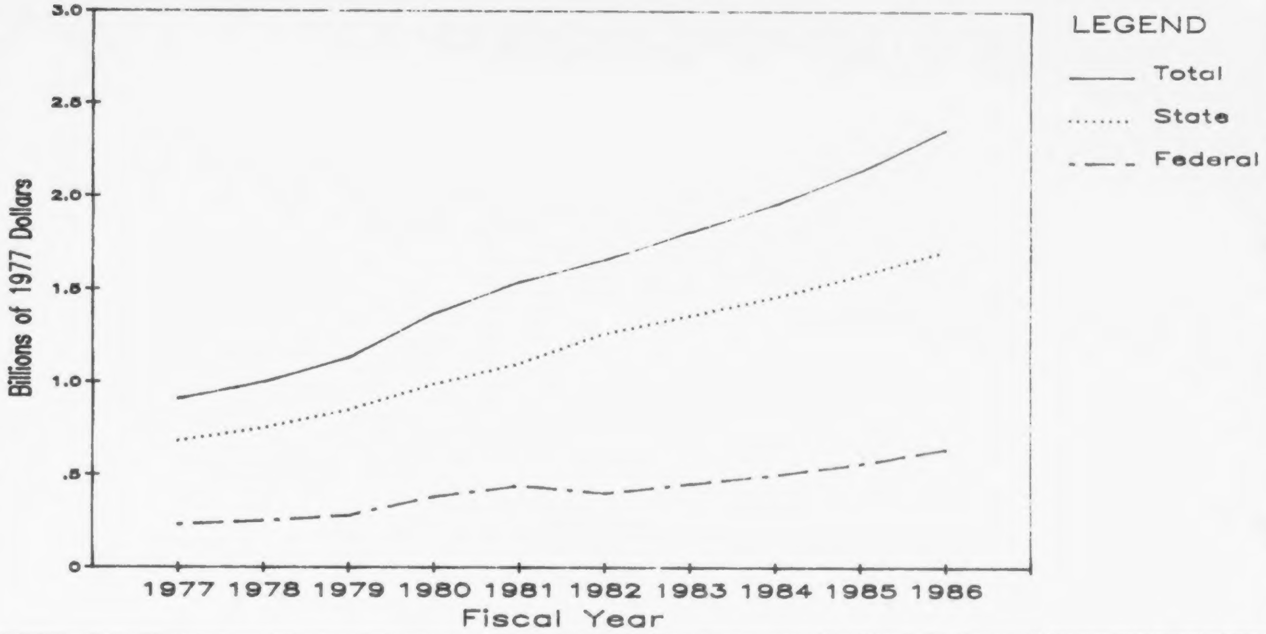
Average Daily Residents in Institutions



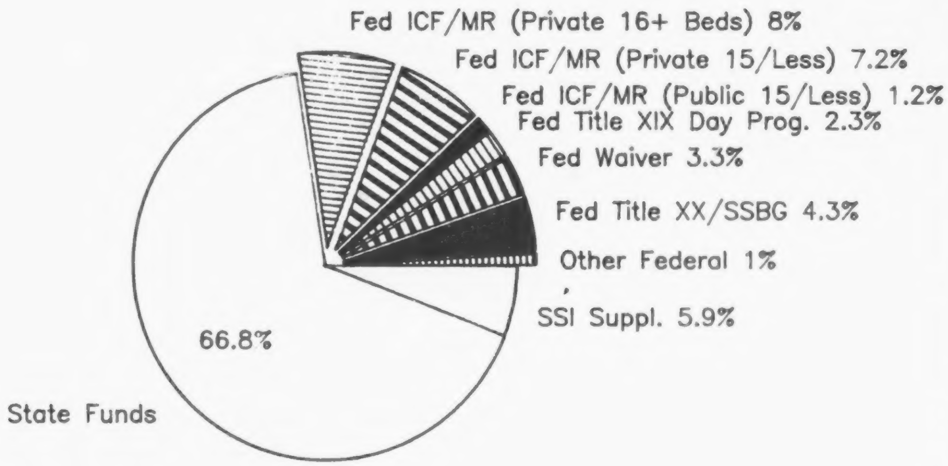
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

UNITED STATES

Community Spending by Level of Government In Real Economic Terms: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

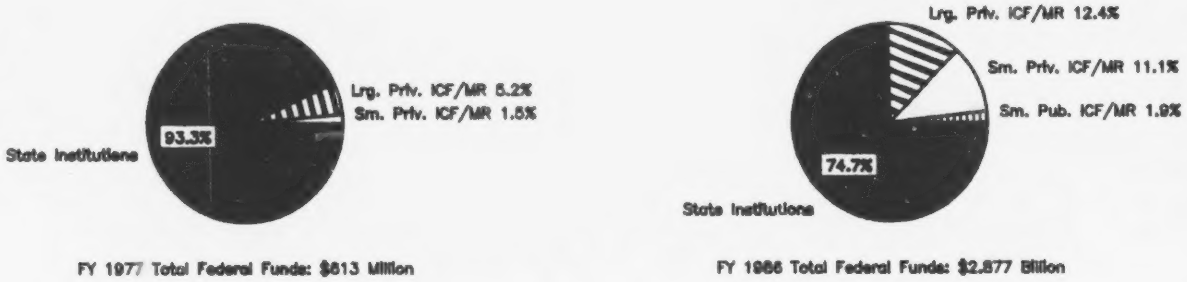


FY 1986 Total Funds: $4.42 Billion

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

UNITED STATES

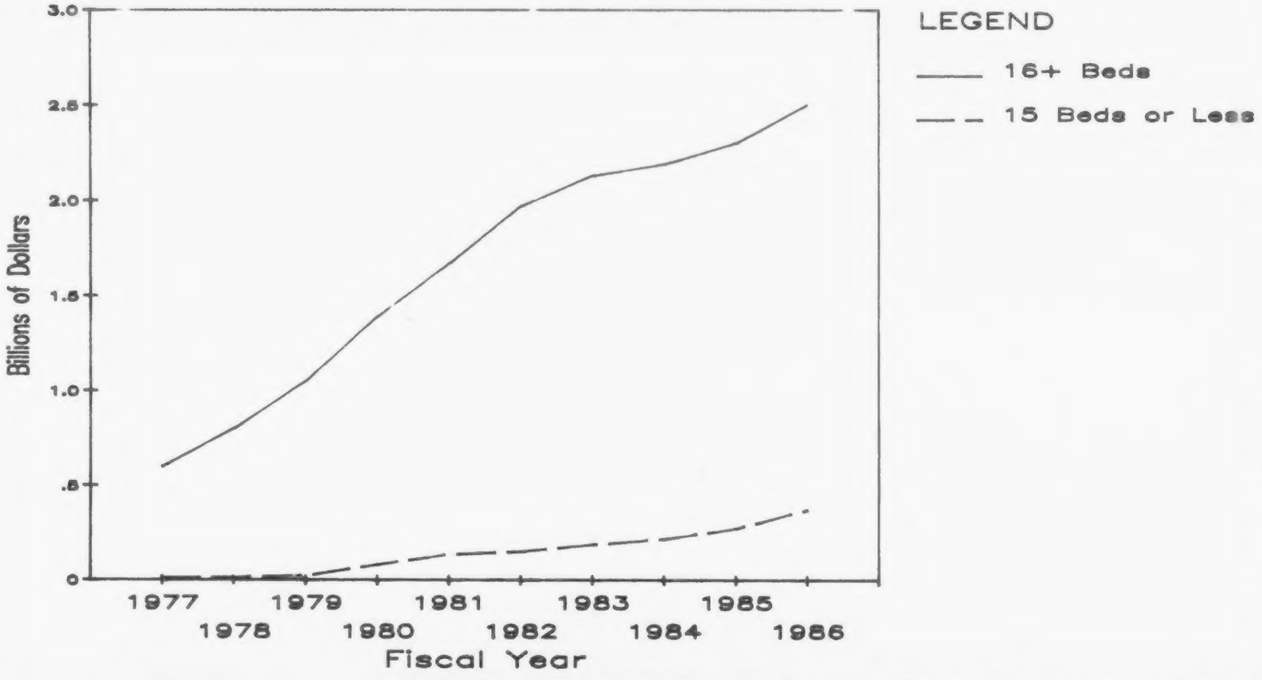
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



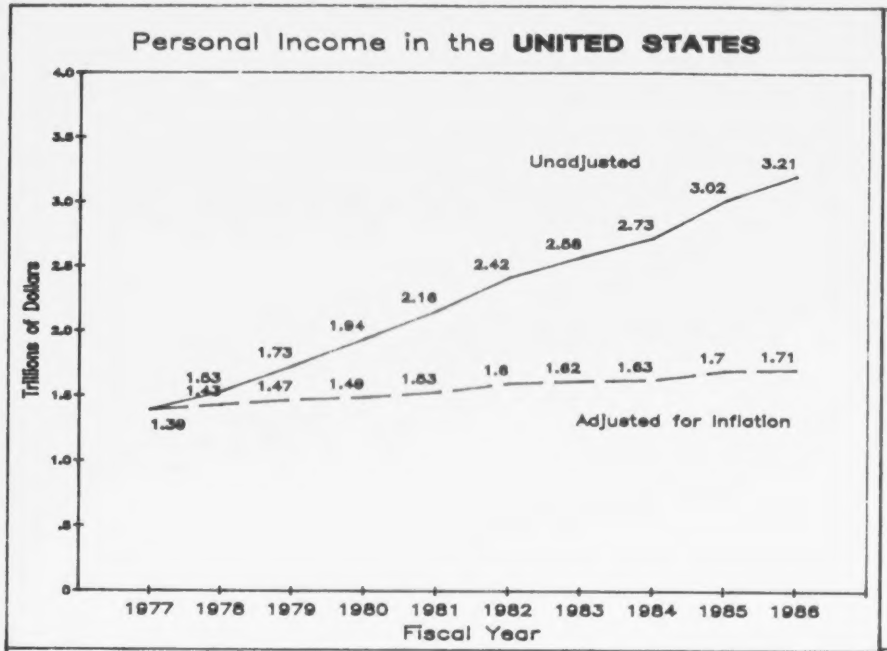
FY 1977 Total Federal Funds: $813 Million

FY 1986 Total Federal Funds: $2.877 Billion

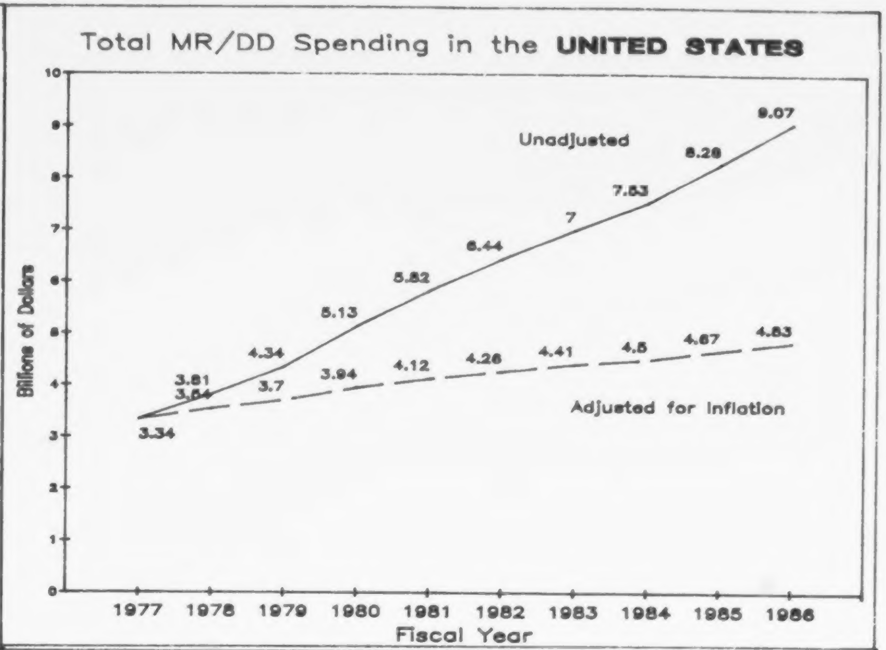
By Facility Size, FY 1977–86



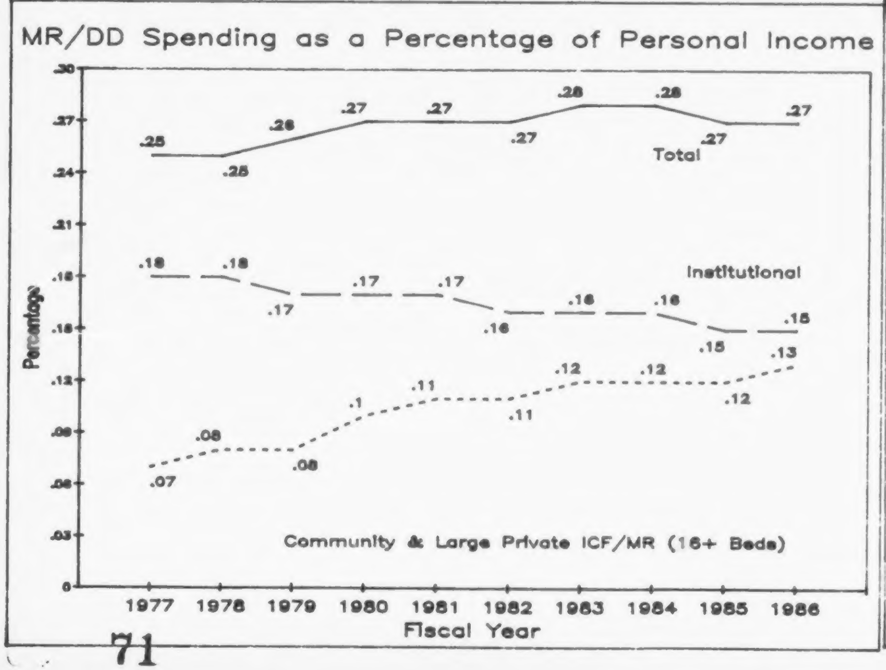
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988



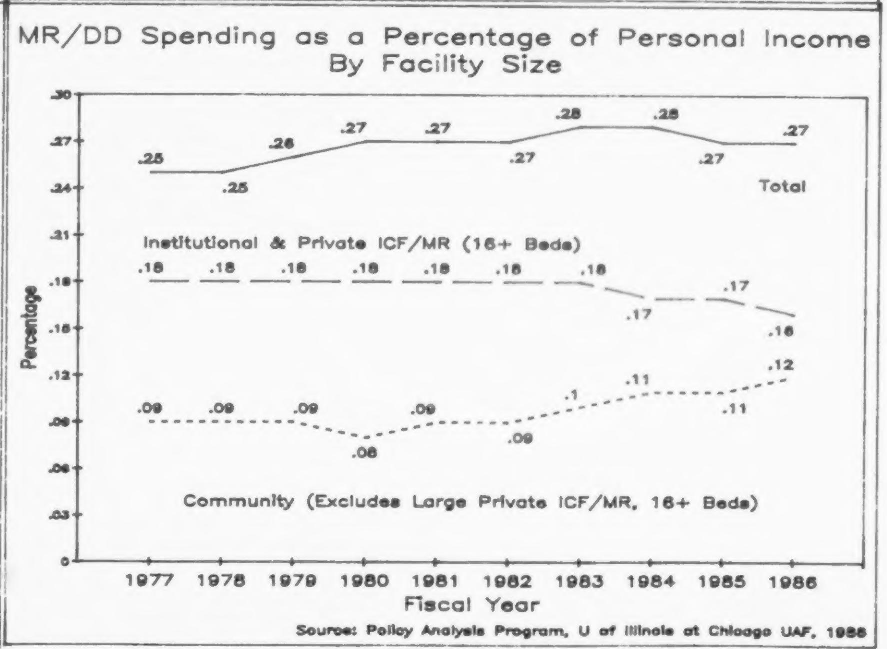
Personal Income in the **UNITED STATES**



Total MR/DD Spending in the **UNITED STATES**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size

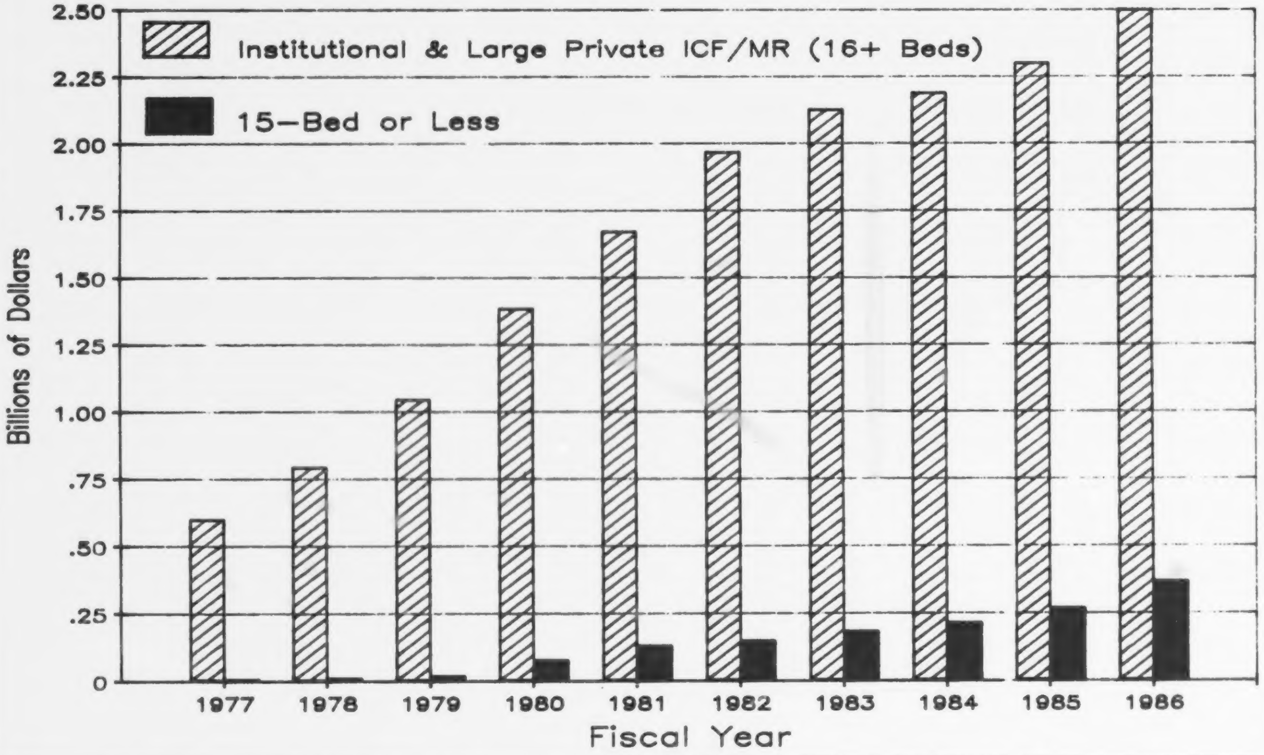
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

UNITED STATES	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	4,481,910,200	5,063,792,500	5,727,426,820	6,710,881,017	7,729,785,054	8,567,828,470	9,305,841,726	10,005,486,937	11,067,814,920	12,084,614,105
TOTAL INSTITUTIONAL/COMMUNITY	3,335,470,200	3,807,631,500	4,344,120,820	5,134,314,017	5,821,100,054	6,439,154,470	7,001,644,726	7,525,742,937	8,268,758,920	9,069,235,105
STATE FUNDS	2,467,835,300	2,703,882,900	2,971,427,820	3,304,394,900	3,615,063,430	3,992,917,950	4,317,680,550	4,690,080,600	5,204,635,890	5,639,321,558
General Funds	2,147,753,100	2,351,759,300	2,546,564,000	2,833,744,400	3,103,503,530	3,428,581,350	3,734,204,050	4,044,603,600	4,517,651,970	4,883,813,458
SSI State Supplement	148,958,000	158,829,000	198,994,000	204,311,000	210,273,000	215,847,000	217,312,000	225,026,000	238,027,000	259,597,000
Other State Funds	171,124,200	193,294,600	225,869,820	266,339,500	301,286,900	348,489,600	366,164,500	420,451,000	448,956,920	495,911,100
FEDERAL FUNDS	867,634,900	1,103,748,600	1,372,693,000	1,829,919,117	2,206,036,624	2,446,236,520	2,683,964,176	2,835,662,337	3,064,123,030	3,429,913,547
Title XIX Funds	617,455,900	818,055,000	1,082,035,100	1,496,661,600	1,849,735,224	2,167,033,476	2,396,698,853	2,539,637,076	2,767,575,130	3,123,200,424
Title XX / SSBG Funds	156,893,600	185,310,900	201,635,000	243,842,500	253,586,900	185,048,100	183,755,600	189,320,200	196,364,040	193,273,650
Other Federal Funds	93,285,400	100,382,700	89,022,900	89,415,017	102,714,500	94,154,944	103,509,723	106,705,061	100,183,860	113,439,473
INSTITUTIONAL SERVICES FUNDS	2,425,225,800	2,723,635,100	3,014,948,700	3,349,508,066	3,643,440,402	3,930,880,121	4,120,425,578	4,239,222,282	4,482,426,400	4,647,390,198
STATE FUNDS	1,783,479,900	1,893,010,600	1,971,370,600	2,020,016,000	2,060,579,080	2,096,260,600	2,154,257,700	2,245,146,400	2,410,071,270	2,426,228,728
General Funds	1,658,006,400	1,751,578,800	1,801,722,600	1,810,271,000	1,842,398,380	1,835,717,700	1,887,274,000	1,932,014,900	2,104,406,070	2,091,458,828
Other State Funds	125,473,500	141,431,800	169,648,000	209,745,000	218,180,700	260,542,900	266,983,700	313,131,500	305,665,200	334,769,900
FEDERAL FUNDS	641,745,900	830,624,500	1,043,578,100	1,329,492,066	1,582,861,322	1,834,619,521	1,966,167,878	1,994,075,882	2,072,355,130	2,221,161,470
Federal ICF/MR	572,193,900	751,199,100	972,233,200	1,259,815,100	1,507,008,320	1,775,688,300	1,898,597,800	1,926,624,100	2,001,545,330	2,148,189,440
Title XX / SSBG Funds	4,865,000	7,250,000	8,185,000	9,387,000	8,364,000	727,000	912,000	1,882,500	8,945,900	2,264,000
Other Federal Funds	64,687,000	72,175,400	63,159,900	60,289,966	67,489,002	58,204,221	66,658,078	65,569,282	61,863,900	70,708,030
COMMUNITY WITH FEDERAL INCOME MAIN	2,056,684,400	2,340,157,400	2,712,478,120	3,361,372,951	4,086,344,652	4,636,948,349	5,185,416,148	5,766,264,655	6,585,388,520	7,437,223,907
COMMUNITY SERVICES FUNDS	910,244,400	1,083,996,400	1,329,172,120	1,784,805,951	2,177,659,652	2,508,274,349	2,881,219,148	3,286,520,655	3,786,332,520	4,421,844,907
STATE FUNDS	684,355,400	810,872,300	1,000,057,220	1,284,378,900	1,554,484,350	1,896,657,350	2,163,422,850	2,444,934,200	2,794,564,620	3,213,092,830
General Funds	489,746,700	600,180,500	744,841,400	1,023,473,400	1,261,105,150	1,592,863,650	1,846,930,050	2,112,588,700	2,413,245,900	2,792,354,630
SSI State Supplement	148,958,000	158,829,000	198,994,000	204,311,000	210,273,000	215,847,000	217,312,000	225,026,000	238,027,000	259,597,000
Other State Funds	45,650,700	51,862,800	56,221,820	56,594,500	83,106,200	87,946,700	99,180,800	107,319,500	143,291,720	161,141,200
FEDERAL FUNDS	225,889,000	273,124,100	329,114,900	500,427,051	623,175,302	611,616,999	717,796,298	841,586,455	991,767,900	1,208,752,077
ICF/MR Funds	41,273,000	60,903,900	100,292,900	211,081,200	304,126,604	348,332,584	418,417,453	483,820,176	576,108,100	728,566,784
Small Public	0	0	898,900	5,613,200	9,838,000	11,928,200	17,610,600	18,330,100	25,100,400	54,411,600
Small Private	9,406,800	13,124,800	20,515,100	74,569,492	124,044,200	139,290,000	169,214,500	198,972,700	247,567,200	318,254,670
Large Private	31,866,200	47,779,100	78,878,900	130,898,508	170,244,404	197,114,384	231,592,353	266,517,376	303,440,500	355,900,514
Other Title XIX Funds	3,989,000	5,952,000	9,509,000	25,765,300	38,600,300	43,012,592	79,683,600	129,192,800	189,921,700	246,444,200
Title XIX Day Programs	3,989,000	5,952,000	9,509,000	25,765,300	38,600,300	41,768,592	62,172,400	69,146,800	82,688,900	101,821,400
Waiver	0	0	0	0	0	1,244,000	17,511,200	60,046,000	107,232,800	144,622,800
Title XX / SSBG Funds	152,028,600	178,060,900	193,450,000	234,455,500	245,222,900	184,321,100	182,843,600	187,437,700	187,418,140	191,009,650
Other Federal Funds	28,598,400	28,207,300	25,863,000	29,125,051	35,225,498	35,950,723	36,851,645	41,135,779	38,319,960	42,731,443
FEDERAL INCOME MAINTENANCE	1,146,440,000	1,256,161,000	1,383,306,000	1,576,567,000	1,908,685,000	2,128,674,000	2,304,197,000	2,479,744,000	2,799,056,000	3,015,379,000
Suppl. Security Income (SSI)	790,234,000	860,317,000	921,742,000	1,028,425,000	1,220,329,000	1,362,603,000	1,477,051,000	1,624,842,000	1,887,699,000	2,016,922,000
Childhood Disability (SSDI)	356,206,000	395,844,000	461,564,000	548,142,000	688,356,000	766,071,000	827,146,000	854,902,000	911,357,000	998,457,000
F.F.P. Rate	57.05%	56.01%	55.76%	55.21%	55.03%	55.04%	55.25%	54.77%	55.15%	55.12
Daily Institutional Population	149,176	140,819	136,017	131,921	125,994	118,905	113,569	109,299	105,239	100,421
Institutional Per Diem	44.54	52.99	60.73	69.37	79.23	90.57	99.40	105.97	116.69	126.79

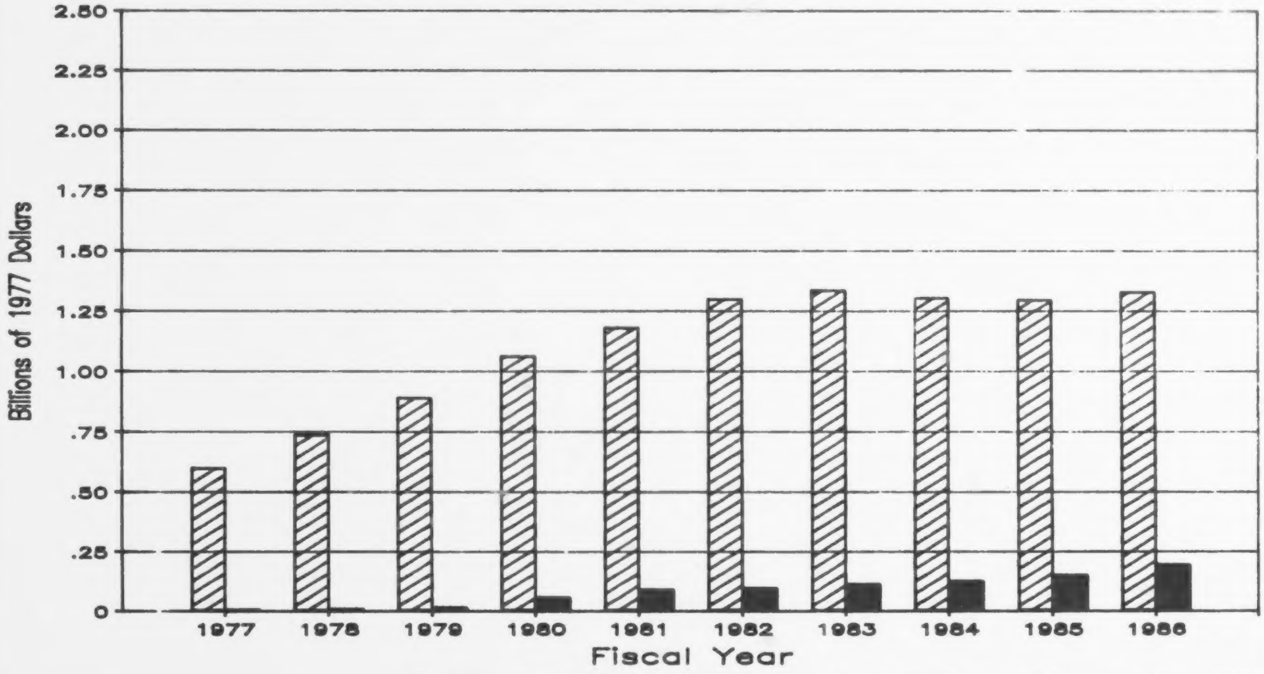
Section 2: Major Federal Revenue Programs

Federal ICF/MR Reimbursements as a % of Total Institutional Spending: FYs 1977-86
Federal ICF/MR Reimbursements as a % of Total Institutional Spending By State: FY 1986
Title XX/SSBG Revenues in the United States: FY 1977-86
SSBG Revenues, By State: FY 1986

UNITED STATES
Federal ICF/MR Reimbursements, by Facility Size: FY 1977–86



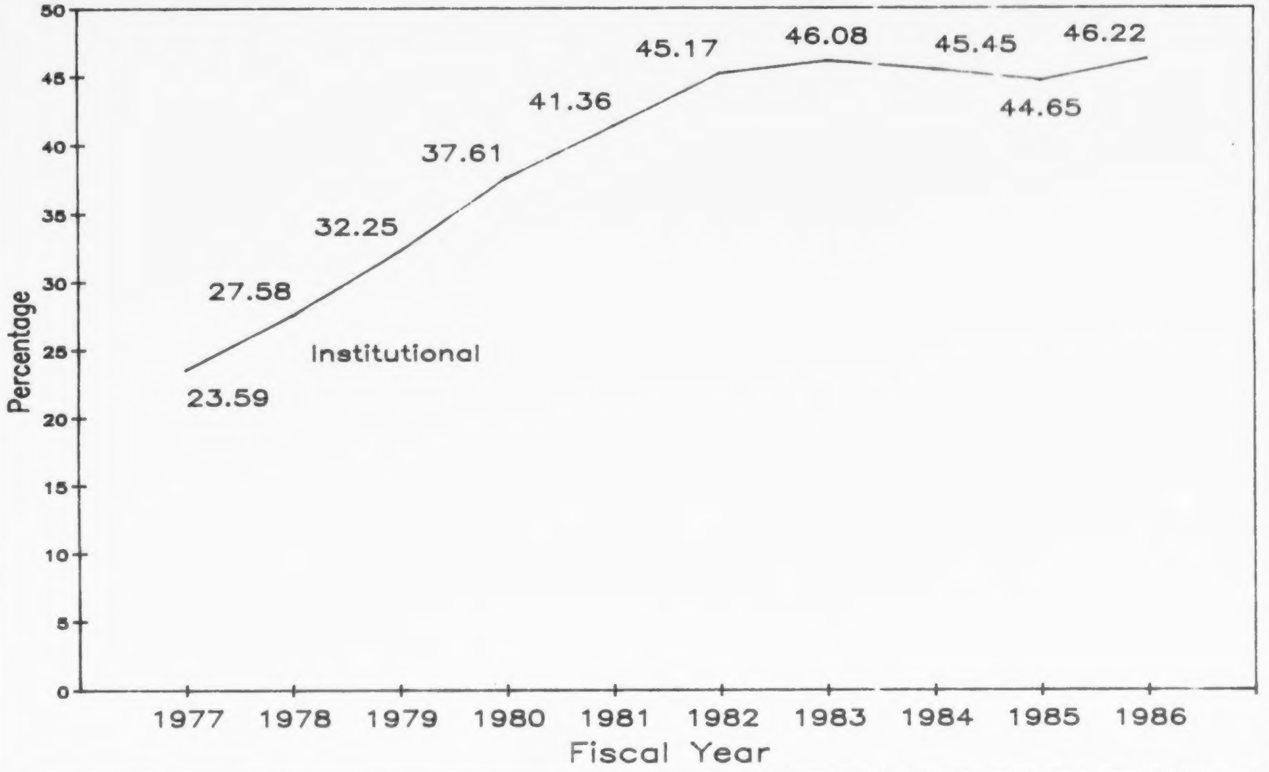
Adjusted for Inflation



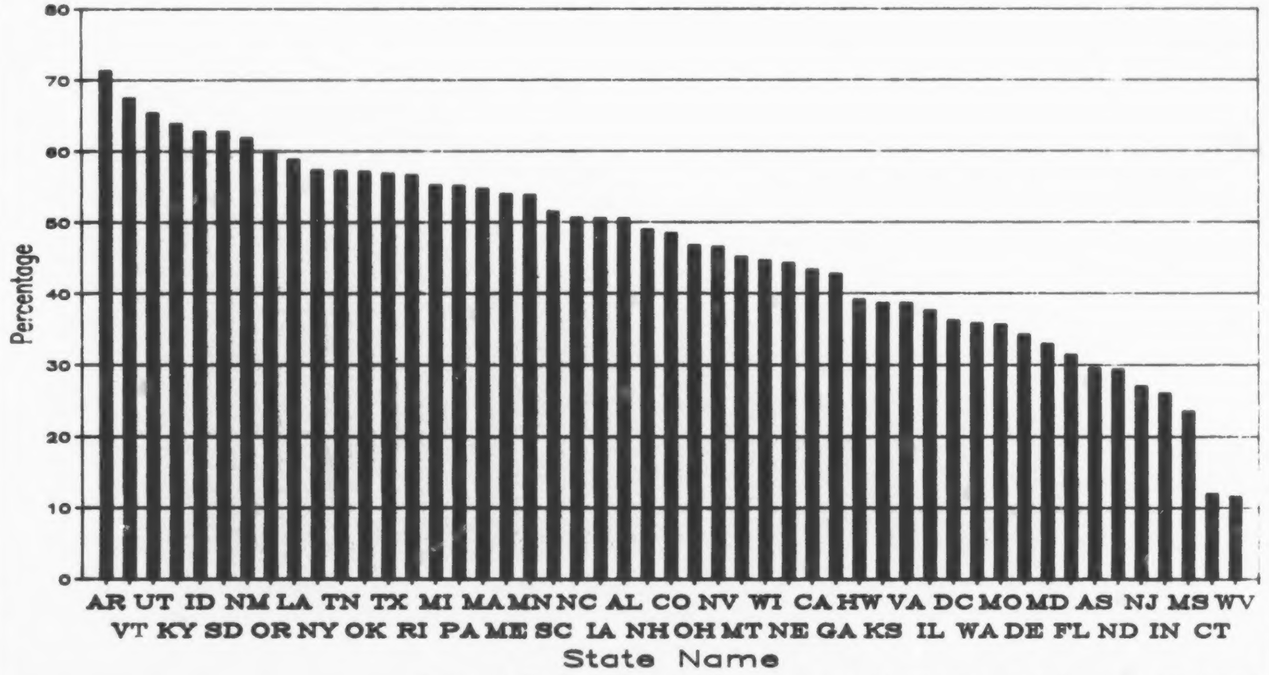
Source: Policy Analysis Program, U of Illinois at Chicago, UAF, 1986

UNITED STATES

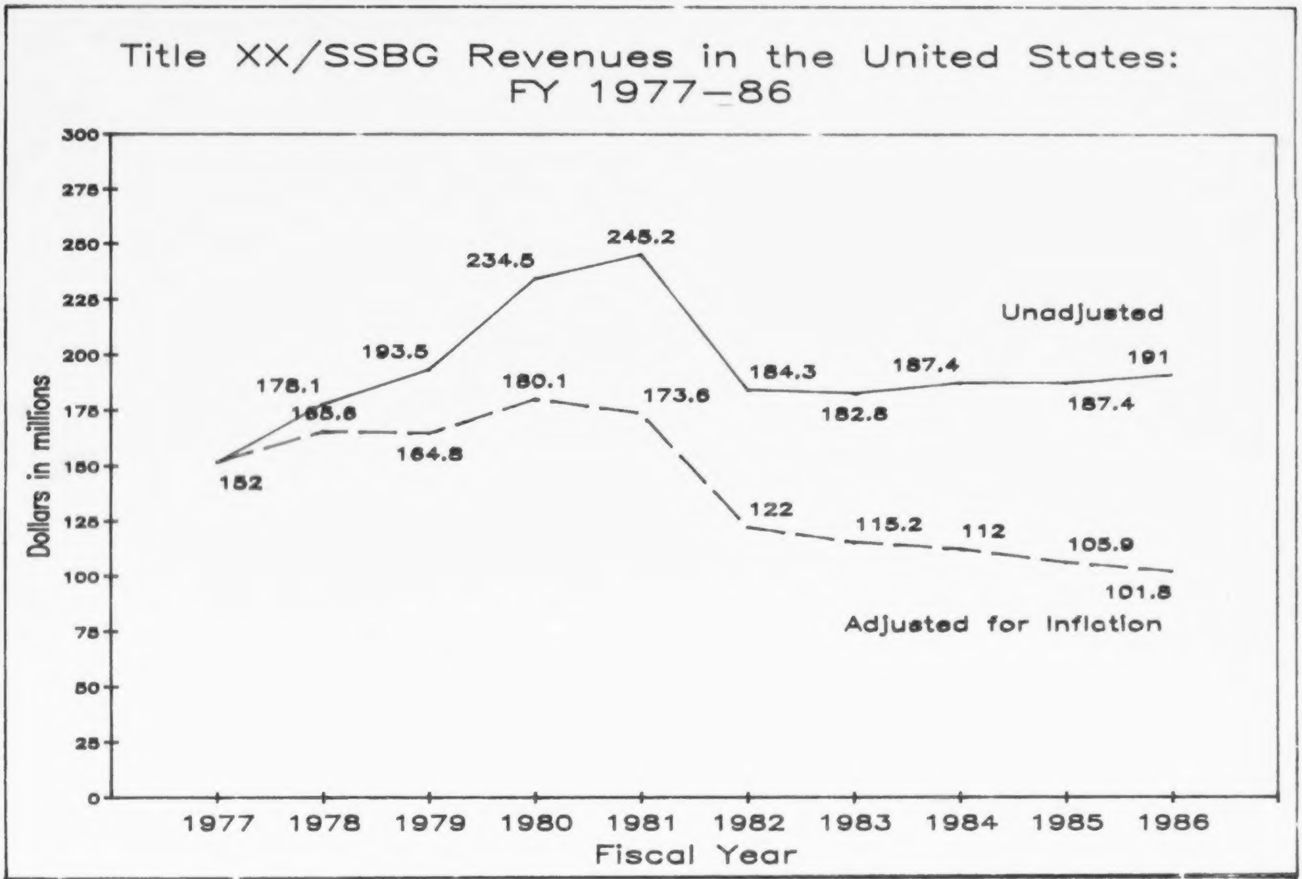
Federal ICF/MR Reimbursements as a Percentage of Total Institutional Spending: FYs 1977–86



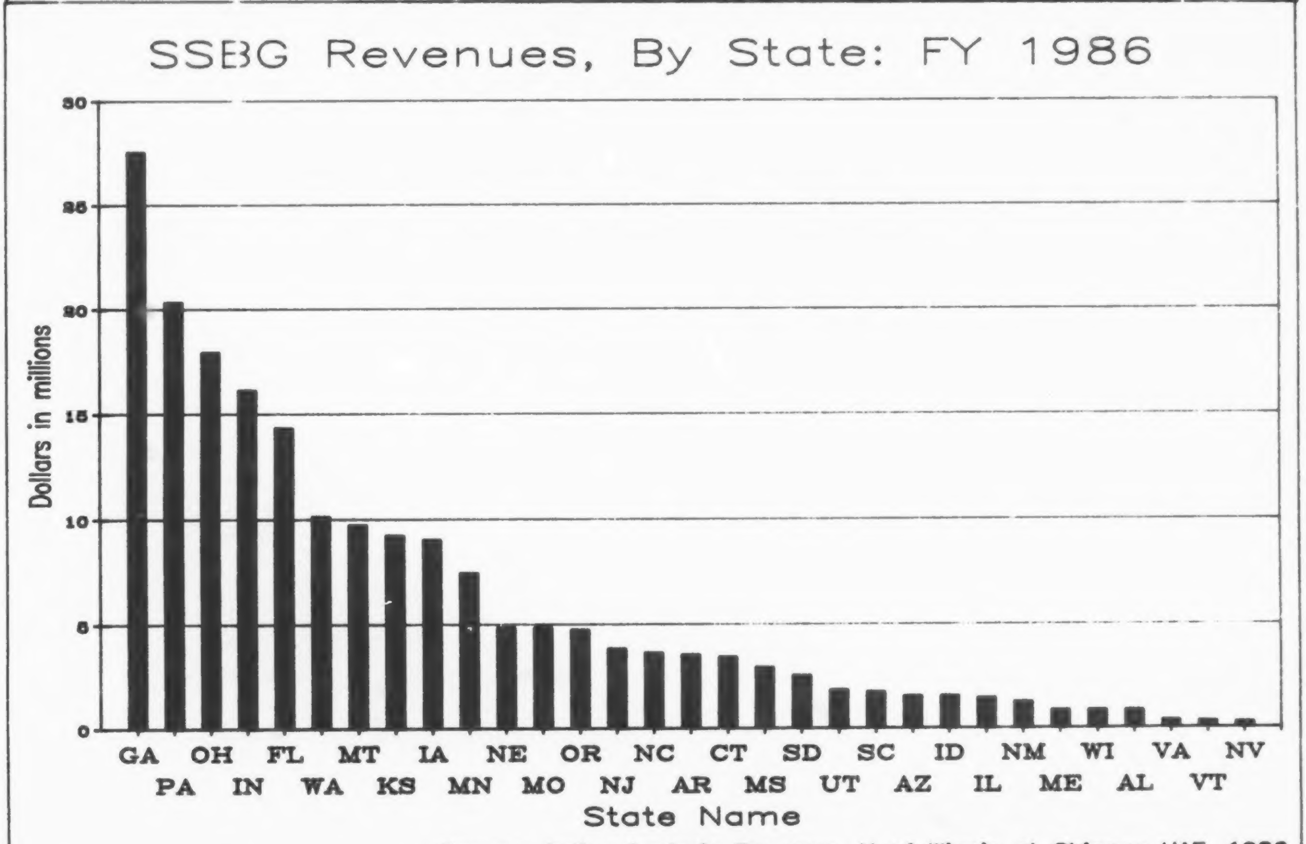
By State: FY 1986



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



Title XX/SSBG Revenues in the United States: FY 1977–86



SSBG Revenues, By State: FY 1986

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

Section 3: Institutional Services Data

Average Daily Populations in the United States (Table)
Per Diem Rates in the United States (Table)

INSTITUTIONAL POPULATIONS, FY 1977-86

STATE	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	AVERAGE ANNUAL % DECREASE	TOTAL % DECREASE
ALABAMA	1,643	1,663	1,659	1,630	1,602	1,491	1,458	1,437	1,390	1,342	2.20%	18.32%
ALASKA	100	104	91	92	89	88	85	75	72	67	4.21%	33.00%
ARIZONA	959	772	693	631	636	572	540	483	446	446	7.97%	53.49%
ARKANSAS	1,380	1,450	1,267	1,158	1,109	1,072	1,107	1,270	1,249	1,320	0.19%	4.35%
CALIFORNIA	9,764	9,480	9,165	8,828	8,557	8,145	7,699	7,458	7,230	6,825	3.90%	30.10%
COLORADO	1,580	1,464	1,404	1,353	1,285	1,257	1,145	1,132	1,136	984	5.04%	37.72%
CONNECTICUT	3,058	2,887	2,932	2,965	2,860	2,866	2,802	2,690	2,577	2,280	3.13%	25.44%
DELAWARE	534	524	523	519	525	509	490	484	433	395	3.22%	26.03%
DIST OF COLUMBIA	1,100	1,000	778	753	619	531	443	407	347	307	13.05%	72.09%
FLORIDA	4,414	4,256	4,123	3,778	3,448	3,029	2,600	2,327	2,147	2,109	7.79%	52.22%
GEORGIA	2,909	2,710	2,607	2,534	2,351	2,300	2,210	2,160	2,159	2,134	3.36%	26.64%
HAWAII	562	509	464	435	410	391	380	344	327	301	6.68%	46.44%
IDAHO	454	441	405	389	365	351	344	320	322	322	3.70%	29.07%
ILLINOIS	6,580	6,434	6,229	6,115	5,827	5,495	5,162	4,948	4,898	4,558	3.98%	30.73%
INDIANA	2,477	2,348	2,253	2,222	2,173	2,081	1,991	1,963	1,903	1,900	2.89%	23.29%
IOWA	1,397	1,380	1,360	1,342	1,323	1,269	1,240	1,225	1,228	1,166	1.98%	16.54%
KANSAS	1,456	1,406	1,379	1,327	1,305	1,316	1,327	1,360	1,345	1,310	1.15%	10.03%
KENTUCKY	839	895	896	908	903	860	789	743	747	745	1.22%	11.20%
LOUISIANA	3,245	3,034	2,798	3,289	3,269	3,426	3,322	3,270	3,159	3,047	0.45%	6.10%
MAINE	536	504	470	426	365	370	372	352	318	312	5.71%	41.79%
MARYLAND	2,725	2,789	2,687	2,612	2,586	2,408	2,315	2,154	1,925	1,725	4.87%	36.70%
MASSACHUSETTS	5,229	4,930	4,828	4,557	4,414	4,124	3,907	3,765	3,665	3,570	4.14%	31.73%
MICHIGAN	6,047	5,720	5,142	4,371	3,574	2,973	2,486	2,281	2,065	1,739	12.83%	71.24%
MINNESOTA	3,085	2,895	2,780	2,692	2,533	2,403	2,301	2,179	2,065	1,868	5.41%	39.45%
MISSISSIPPI	1,720	1,786	1,848	1,857	1,869	1,848	1,825	1,790	1,500	1,300	2.82%	24.42%
MISSOURI	2,102	2,036	2,079	2,053	2,001	1,926	1,870	1,956	1,930	1,858	1.33%	11.61%
MONTANA	299	305	314	309	303	278	271	259	259	257	1.62%	14.05%
NEBRASKA	1,008	917	805	744	650	589	526	492	485	468	8.10%	53.57%
NEVADA	118	151	144	148	152	155	161	165	166	171	-4.53%	-44.92%
NEW HAMPSHIRE	684	636	609	572	538	496	449	335	323	268	9.62%	60.82%
NEW JERSEY	7,603	7,810	7,589	7,262	6,942	6,551	6,046	5,886	5,699	5,493	3.51%	27.75%
NEW MEXICO	584	575	539	552	536	532	492	472	474	472	2.29%	19.18%
NEW YORK	18,799	17,440	16,039	15,258	14,347	13,344	12,494	11,844	11,417	10,990	5.78%	41.54%
NORTH CAROLINA	3,773	3,228	3,162	3,102	3,042	2,990	3,002	3,035	2,948	2,959	2.56%	21.57%
NORTH DAKOTA	1,139	1,130	1,096	1,069	1,038	1,016	966	733	649	513	8.08%	54.96%
OHIO	6,838	6,443	6,140	5,462	5,020	3,924	3,492	3,198	2,875	2,780	9.36%	59.34%
OKLAHOMA	2,158	2,124	2,129	1,913	1,836	1,803	1,810	1,755	1,440	1,365	4.79%	36.75%
OREGON	1,873	1,788	1,718	1,680	1,622	1,648	1,622	1,550	1,488	1,356	3.49%	27.60%
PENNSYLVANIA	9,189	8,196	7,778	8,054	7,812	6,843	6,779	6,362	5,807	5,600	5.24%	39.06%
RHODE ISLAND	736	720	669	663	606	549	518	398	426	379	6.77%	48.51%
SOUTH CAROLINA	2,928	2,704	3,015	3,098	3,077	3,030	2,844	2,745	2,718	2,648	0.98%	9.56%
SOUTH DAKOTA	870	796	738	679	649	629	575	557	559	540	5.12%	37.93%
TENNESSEE	2,071	2,035	2,128	2,076	2,121	2,141	2,148	2,112	2,133	2,133	-0.35%	-2.99%
TEXAS	10,884	9,226	9,631	9,541	9,609	9,463	9,729	9,705	9,941	9,414	1.43%	13.51%
UTAH	841	841	844	799	777	767	750	734	731	700	2.00%	16.77%
VERMONT	443	449	403	367	350	326	244	202	199	195	8.35%	55.98%
VIRGINIA	3,836	3,839	3,716	3,965	3,467	3,391	3,309	3,180	3,068	2,969	2.69%	22.60%
WASHINGTON	2,504	2,418	2,362	2,239	2,028	1,956	1,877	1,857	1,845	1,845	3.30%	26.32%
WEST VIRGINIA	1,165	955	926	893	861	825	729	645	575	557	7.73%	52.19%
WISCONSIN	2,405	2,158	2,153	2,142	2,138	2,117	2,088	2,072	2,001	1,989	2.04%	17.30%
WYOMING	533	520	510	498	475	441	438	433	430	430	2.33%	19.32%
UNITED STATES	149,176	140,819	136,017	131,921	125,994	118,905	113,569	109,299	105,239	100,421	4.30%	32.68%

INSTITUTIONAL PER DIEM RATES: FYs 1977-86
(States Ranked by Rate of Increase)

STATE	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	AVERAGE ANNUAL % INCREASE	TOTAL % INCREASE	ADJUSTED % INCREASE
NORTH DAKOTA	$22.18	$27.77	$28.63	$37.27	$38.49	$57.66	$60.64	$98.89	$119.68	$170.53	27.04%	669.00%	309.88%
NEW HAMPSHIRE	$27.37	$32.37	$39.37	$49.87	$61.23	$78.36	$104.98	$139.94	$161.42	$191.10	24.26%	598.32%	272.20%
NEVADA	$22.99	$58.15	$75.68	$83.43	$96.99	$117.93	$123.34	$124.62	$138.68	$131.81	27.02%	473.46%	205.65%
MASSACHUSETTS	$33.69	$51.07	$65.32	$83.70	$98.19	$117.85	$131.97	$148.00	$160.71	$176.28	20.82%	423.23%	178.89%
DIST OF COLUM	$34.20	$41.33	$54.07	$61.74	$86.29	$103.72	$134.58	$142.70	$160.76	$176.66	20.46%	416.50%	175.29%
CONNECTICUT	$39.77	$50.83	$56.54	$68.59	$83.24	$95.89	$113.17	$130.13	$149.37	$198.94	19.77%	400.28%	166.65%
MISSISSIPPI	$26.09	$33.65	$35.01	$40.22	$48.42	$54.27	$55.44	$62.48	$75.56	$107.86	17.65%	313.37%	120.33%
VERMONT	$37.89	$46.74	$55.00	$65.53	$75.27	$91.11	$114.70	$135.58	$143.68	$152.42	16.91%	302.26%	114.40%
NEW JERSEY	$31.99	$36.67	$47.42	$55.83	$68.78	$77.59	$95.44	$100.00	$112.15	$123.91	16.45%	287.37%	106.47%
ARIZONA	$46.60	$71.41	$97.61	$111.74	$128.67	$150.19	$156.72	$172.04	$171.44	$180.37	17.25%	287.06%	106.30%
OHIO	$36.84	$46.57	$59.73	$70.79	$78.94	$104.62	$124.00	$124.97	$126.84	$137.81	16.30%	274.06%	99.37%
OKLAHOMA	$28.83	$31.22	$36.26	$43.66	$49.15	$58.79	$66.95	$69.81	$91.74	$106.25	15.82%	268.55%	96.44%
WYOMING	$25.92	$31.48	$34.86	$45.13	$63.43	$75.59	$86.59	$86.39	$92.51	$92.18	15.82%	255.60%	89.53%
GEORGIA	$41.58	$49.74	$57.32	$68.20	$81.93	$91.20	$98.88	$105.29	$133.20	$145.37	15.09%	249.59%	86.33%
MAINE	$44.69	$54.19	$62.37	$86.53	$110.35	$118.57	$130.46	$136.70	$143.95	$154.17	15.25%	244.95%	83.86%
MICHIGAN	$52.99	$62.37	$83.24	$93.73	$106.27	$120.36	$146.09	$159.60	$170.09	$177.59	14.67%	235.15%	78.64%
DELAWARE	$28.72	$36.85	$42.56	$44.07	$51.59	$59.59	$73.34	$78.47	$94.13	$96.11	14.67%	234.68%	78.38%
WEST VIRGINIA	$29.86	$34.83	$40.63	$45.49	$48.41	$57.00	$61.71	$76.80	$91.88	$99.79	14.48%	234.13%	78.09%
MARYLAND	$41.38	$43.50	$48.75	$59.22	$64.11	$74.49	$86.99	$98.27	$117.62	$137.03	14.34%	231.18%	76.52%
NEBRASKA	$33.07	$44.86	$54.92	$60.81	$75.15	$87.45	$96.76	$97.05	$111.89	$107.23	14.54%	224.27%	72.83%
CALIFORNIA	$50.54	$62.37	$69.56	$86.07	$102.62	$106.90	$111.07	$123.86	$145.32	$161.97	14.03%	220.49%	70.82%
RHODE ISLAND	$51.47	$60.27	$68.33	$80.51	$103.19	$118.42	$142.33	$161.53	$159.63	$164.66	14.10%	219.89%	70.50%
WASHINGTON	$42.31	$47.88	$54.37	$67.20	$77.02	$89.05	$94.51	$109.79	$117.37	$134.35	13.80%	217.54%	69.25%
FLORIDA	$37.37	$41.25	$46.10	$54.45	$63.94	$81.05	$99.35	$108.62	$113.88	$118.54	13.92%	217.23%	69.08%
MINNESOTA	$45.65	$54.01	$59.93	$66.30	$72.30	$85.86	$99.99	$114.08	$123.52	$142.39	13.53%	211.91%	66.25%
COLORADO	$37.74	$43.65	$46.89	$54.33	$65.85	$78.67	$87.29	$93.11	$98.42	$117.11	13.55%	210.31%	65.39%
HAWAII	$44.33	$52.55	$61.18	$69.91	$82.30	$90.97	$105.87	$113.07	$119.28	$136.40	13.39%	207.69%	64.00%
ARKANSAS	$34.58	$37.77	$52.64	$70.70	$83.81	$93.21	$95.76	$88.87	$101.05	$106.01	14.09%	206.56%	63.40%
NORTH CAROLINA	$44.73	$53.55	$62.20	$71.91	$89.61	$94.39	$105.49	$107.28	$122.63	$135.13	13.27%	202.13%	61.04%
SOUTH DAKOTA	$26.53	$30.36	$38.95	$45.24	$55.55	$58.84	$67.62	$69.25	$72.77	$76.53	12.80%	188.42%	53.73%
SOUTH CAROLINA	$30.15	$40.86	$44.92	$49.83	$56.16	$59.57	$63.20	$68.59	$75.66	$86.94	12.78%	188.33%	53.68%
ALABAMA	$52.13	$57.29	$63.65	$78.51	$85.86	$98.09	$108.41	$111.44	$125.59	$147.65	12.39%	183.24%	50.97%
NEW YORK	$59.74	$71.10	$78.36	$92.74	$99.27	$121.11	$133.19	$141.15	$160.92	$168.50	12.37%	182.06%	50.34%
VIRGINIA	$39.63	$42.18	$50.32	$49.34	$62.26	$72.43	$77.90	$84.63	$94.69	$104.72	11.67%	164.27%	40.86%
ALASKA	$116.79	$133.14	$169.14	$165.51	$175.80	$208.00	$234.81	$271.13	$288.13	$307.59	11.64%	163.36%	40.37%
LOUISIANA	$31.23	$38.28	$48.67	$51.30	$60.20	$63.69	$73.60	$74.28	$84.00	$81.26	11.62%	160.19%	38.68%
NEW MEXICO	$44.91	$45.56	$68.34	$70.31	$74.73	$90.75	$102.14	$123.56	$111.86	$113.97	12.00%	153.80%	35.28%
UTAH	$34.91	$44.24	$50.46	$50.00	$59.37	$65.02	$72.43	$75.30	$81.46	$86.34	10.85%	147.31%	31.82%
OREGON	$39.74	$36.99	$41.22	$50.47	$56.25	$66.65	$70.13	$85.82	$89.70	$96.72	10.76%	143.41%	29.74%
MISSOURI	$40.72	$46.98	$51.34	$64.38	$74.36	$80.87	$80.30	$77.17	$85.55	$97.57	10.51%	139.62%	27.72%
IOWA	$49.18	$58.12	$66.71	$76.55	$79.64	$96.41	$101.43	$104.85	$114.66	$112.56	9.88%	128.89%	22.00%
KANSAS	$48.31	$55.50	$61.02	$70.75	$78.19	$81.65	$82.50	$84.53	$93.88	$109.29	9.63%	126.22%	20.58%
IDAHO	$51.85	$58.96	$66.88	$74.82	$92.36	$96.53	$96.94	$108.40	$114.23	$117.24	9.69%	126.11%	20.52%
TENNESSEE	$43.45	$50.20	$52.38	$61.63	$66.29	$70.00	$73.31	$76.80	$88.50	$97.51	9.51%	124.40%	19.61%
TEXAS	$33.22	$41.10	$42.57	$45.21	$49.62	$58.39	$61.64	$66.04	$66.77	$70.13	8.86%	111.13%	12.53%
PENNSYLVANIA	$61.25	$75.40	$86.29	$82.21	$94.80	$117.16	$122.70	$124.37	$135.50	$128.92	9.10%	110.49%	12.19%
KENTUCKY	$51.46	$53.62	$61.69	$67.58	$70.86	$79.80	$89.13	$100.16	$100.84	$107.08	8.58%	108.07%	10.90%
INDIANA	$44.10	$48.31	$55.29	$60.56	$64.39	$66.69	$70.38	$73.11	$76.56	$90.23	8.38%	104.57%	9.04%
ILLINOIS	$57.39	$63.47	$68.13	$76.22	$86.41	$93.60	$98.48	$101.68	$101.89	$111.42	7.72%	94.14%	3.47%
WISCONSIN	$61.54	$72.86	$84.64	$90.45	$110.77	$103.23	$107.27	$107.55	$113.91	$118.73	7.93%	92.92%	2.82%
MONTANA	$78.86	$78.51	$75.28	$85.34	$91.91	$115.11	$130.53	$130.76	$134.16	$138.41	6.79%	75.53%	-6.44%
UNITED STATES	$44.54	$52.99	$60.73	$69.37	$79.23	$90.57	$99.44	$105.97	$116.69	$126.79	12.38%	184.67%	51.73%

Section 4: Comparative Measures of State Fiscal Effort

MR/DD Spending as a Share of Statewide Personal Income (Table)
MR/DD Spending on a Per Capita Basis of the General Population (Table)

MR/DD Spending in 1986 as a Share of Personal Income, Ranked By State

1986	Rank Total MR/DD Spending/ Personal Income	Rank Institutional/ Personal Income	Rank Community/ Personal Income	Rank Institutional + Large Private ICF/MR/ Personal Income	Rank Community - Large Private ICF/MR/ Personal Income
NORTH DAKOTA	1	1	4	1	2
MINNESOTA	2	18	1	8	7
CONNECTICUT	3	2	16	2	12
NEW YORK	4	4	10	4	8
RHODE ISLAND	5	15	3	23	1
DIST OF COLUM	6	13	5	19	3
MAINE	7	29	2	10	10
VERMONT	8	14	6	21	4
MASSACHUSETTS	9	3	17	6	13
PENNSYLVANIA	10	16	9	14	9
NEW HAMPSHIRE	11	30	7	37	6
LOUISIANA	12	12	14	5	26
WYOMING	13	6	22	11	17
SOUTH DAKOTA	14	11	18	15	14
MONTANA	15	24	11	32	11
MICHIGAN	16	43	8	47	5
NEW JERSEY	17	10	25	13	20
SOUTH CAROLINA	18	5	43	7	35
MISSISSIPPI	19	7	34	3	39
WISCONSIN	20	27	15	16	19
NORTH CAROLINA	21	9	37	9	40
OHIO	22	42	13	27	23
GEORGIA	23	19	27	29	22
WASHINGTON	24	21	30	22	29
NEBRASKA	25	46	12	38	16
ARKANSAS	26	8	47	12	43
DELAWARE	27	20	33	26	31
IDAHO	28	33	23	33	24
UTAH	29	32	24	18	37
MARYLAND	30	34	26	39	21
OREGON	31	23	35	28	34
CALIFORNIA	32	41	20	40	18
IOWA	33	31	31	24	38
KANSAS	34	22	42	20	42
ILLINOIS	35	37	29	35	32
ALASKA	36	47	19	49	15
OKLAHOMA	37	28	38	17	51
NEW MEXICO	38	35	39	34	36
ALABAMA	39	17	51	25	48
COLORADO	40	45	28	44	25
TENNESSEE	41	25	45	30	46
INDIANA	42	44	32	46	27
MISSOURI	43	40	36	41	30
VIRGINIA	44	26	48	31	49
FLORIDA	45	51	21	48	28
TEXAS	46	36	44	36	50
KENTUCKY	47	49	40	45	41
ARIZONA	48	48	41	50	33
WEST VIRGINIA	49	39	46	42	45
HAWAII	50	38	49	43	44
NEVADA	51	50	50	51	47

MR/DD SPENDING PER CAPITA*
FY 1977 & FY 1986
(Ranked by State's FY 1986 Total MR/DD Per Capita)

STATE	Total MR/DD Spending Per Capita 1977	Total MR/DD Spending Per Capita 1986	Community Spending Per Capita 1977	Community Spending Per Capita 1986	Institutional Spending Per Capita 1977	Institutional Spending Per Capita 1986
NORTH DAKOTA	$14.79	$82.79	$0.50	$36.18	$14.29	$46.61
CONNECTICUT	$18.46	$81.91	$4.08	$29.73	$14.38	$52.18
DIST OF COLUMBIA	$20.72	$79.22	$0.98	$47.49	$19.73	$31.72
NEW YORK	$26.77	$70.46	$3.97	$32.43	$22.80	$38.03
MINNESOTA	$23.13	$65.43	$10.14	$42.27	$12.99	$23.17
MASSACHUSETTS	$16.22	$62.99	$5.03	$23.54	$11.18	$39.45
RHODE ISLAND	$19.07	$61.82	$4.52	$38.29	$14.56	$23.53
NEW JERSEY	$14.87	$52.59	$2.78	$19.73	$12.09	$32.86
NEW HAMPSHIRE	$10.89	$51.47	$2.82	$32.72	$8.07	$18.75
PENNSYLVANIA	$23.03	$50.82	$5.75	$28.61	$17.28	$22.21
MAINE	$11.24	$48.00	$3.22	$32.92	$8.02	$15.08
VERMONT	$14.90	$47.57	$2.27	$27.29	$12.63	$20.28
WYOMING	$17.03	$44.70	$4.27	$16.22	$12.77	$28.48
MICHIGAN	$15.29	$42.78	$2.46	$30.40	$12.83	$12.38
WISCONSIN	$23.88	$39.80	$12.09	$21.76	$11.78	$18.03
ALASKA	$19.18	$39.79	$8.34	$25.21	$10.85	$14.58
LOUISIANA	$11.47	$39.03	$2.11	$18.86	$9.36	$20.16
MARYLAND	$12.80	$37.71	$2.93	$18.06	$9.86	$19.64
SOUTH DAKOTA	$14.55	$37.28	$2.28	$16.01	$12.26	$21.28
DELAWARE	$10.38	$36.90	$0.95	$14.59	$9.44	$22.31
CALIFORNIA	$15.06	$36.74	$6.85	$21.33	$8.21	$15.41
OHIO	$12.80	$36.01	$4.25	$23.01	$8.55	$13.00
NEBRASKA	$17.69	$35.93	$9.84	$24.53	$7.85	$11.40
MONTANA	$18.88	$35.68	$7.54	$19.98	$11.34	$15.70
WASHINGTON	$13.38	$35.38	$2.90	$14.87	$10.48	$20.52
SOUTH CAROLINA	$13.42	$33.62	$2.47	$8.51	$10.96	$25.11
NORTH CAROLINA	$14.02	$33.58	$3.01	$10.25	$11.01	$23.33
GEORGIA	$14.47	$33.11	$5.86	$14.15	$8.61	$18.97
KANSAS	$20.46	$32.89	$9.29	$11.54	$11.17	$21.35
ILLINOIS	$15.91	$32.29	$3.78	$16.20	$12.13	$16.09
IOWA	$16.03	$30.53	$7.40	$13.95	$8.63	$16.58
OREGON	$14.28	$29.81	$2.83	$11.98	$11.45	$17.83
COLORADO	$16.67	$29.54	$8.40	$16.48	$8.27	$13.07
MISSISSIPPI	$8.39	$28.77	$1.65	$9.18	$6.74	$19.59
IDAHO	$14.82	$26.95	$4.80	$13.26	$10.03	$13.70
OKLAHOMA	$8.97	$26.68	$0.92	$10.59	$8.04	$16.09
ARKANSAS	$11.33	$26.66	$3.30	$5.04	$8.03	$21.62
VIRGINIA	$13.04	$26.51	$2.23	$6.63	$10.81	$19.89
UTAH	$9.52	$25.46	$1.10	$12.28	$8.43	$13.19
MISSOURI	$9.93	$25.43	$3.45	$12.29	$6.48	$13.14
FLORIDA	$9.97	$25.05	$3.05	$16.97	$6.92	$8.08
INDIANA	$10.75	$24.46	$3.33	$13.09	$7.42	$11.37
NEW MEXICO	$9.87	$22.93	$1.86	$9.37	$8.01	$13.56
TEXAS	$12.59	$22.45	$2.36	$7.64	$10.23	$14.81
ALABAMA	$10.60	$22.27	$2.24	$4.28	$8.37	$17.98
TENNESSEE	$9.62	$21.82	$2.03	$5.84	$7.59	$15.97
HAWAII	$14.31	$20.40	$4.12	$6.19	$10.19	$14.20
ARIZONA	$7.69	$19.69	$0.74	$10.42	$6.95	$9.27
KENTUCKY	$5.76	$16.90	$1.30	$9.09	$4.46	$7.81
WEST VIRGINIA	$7.60	$15.49	$0.84	$5.02	$6.77	$10.47
NEVADA	$3.41	$14.94	$1.88	$6.10	$1.53	$8.85
US Total	$15.33	$38.04	$4.18	$18.55	$11.15	$19.49

* MR/DD Spending divided by the state's general population.

PART THREE: STATE PROFILES

EACH PROFILE CONSISTS OF TECHNICAL NOTES, FIVE PAGES OF CHARTS, AND THE MR/DD EXPENDITURE SPREADSHEET

ALABAMA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Community and institutional services for mentally retarded and developmentally disabled persons in Alabama are under the management of the Associate Commissioner for Mental Retardation, in the Department of Mental Health (DMH).

Budget Format: The DMH budget documents had the following program elements:

- Mental Illness Institutional Treatment and Care
- Non-institutional Treatment and Care: (FYs 1977-81)
    - Alcoholism and Drug Abuse Element
    - Mental Illness Element
    - Mental Retardation Element
- Institutional Treatment and Care--MR Program
- Administrative Services Program
- Institutional Treatment and Care--Criminally Insane Program

Note: The Non-institutional Treatment and Care program was changed in FY 1982 to:

- Community Services Program:
    - MI and Substance Abuse Element
    - Administrative Support Element
    - MR Element

Note on Data Sources. Alabama Executive Budget documents were reviewed for FYs 1979-82 and FY 1984. They provided "actual" expenditures for FYs 1977-79 and FY 1982; "estimated" expenditures for FY 1980; "budgeted" expenditures for FYs 1981 and '83; and "Governor's Recommended" for FY 1984. The budget format did not provide sufficient detail on funding sources, so Allen Marchetti, Ph.D., Executive Assistant to the Associate Commissioner for Mental Retardation, Department of Mental Health and Mental Retardation, was contacted. Community and institutional expenditures and funding source data were provided in 9/20/83 correspondence from Marchetti, and in a subsequent phone interview (10/13/83). These revised data classified expenditures as "actual" for FYs 1977-82; "revised estimate" for FY 1983; and "appropriated" for FY 1984. Subsequently, the figures for FY 1983-86 were updated (p.c., correspondence, A. Marchetti, 4/10/86). In this more recent correspondence, actual expenditures were provided for FYs 1983-85, and a budgeted figure was provided for FY 1986.

Average daily population figures were obtained from A. Marchetti (p.c., telephone, 6/12/84) and from J. Dunlap, Finance, DMH (p.c., telephone, 5/12/86--for the FY 1986 population) We interpolated between FY 1984 and FY 1986 figures to obtain the FY 1985 figure.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services figures which were obtained in personal communication from A. Marchetti corresponded closely with the line in the Executive Budget documents termed "Institutional Treatment and Care--MR Program" with the exception of FY 1980, in which the budget book "estimate" was approximately $6.0 million higher than the "actual" figure provided in correspondence with the agency. The latter figure was utilized in this analysis.

Other State Funds. This line consisted of special levies and utility taxes.

III. COMMUNITY SERVICES FUNDS

Community services consisted of expenditures reported in the personal communication outlined above. The figures compared closely with the budget line "Non-Institutional Treatment and Care--MR Element" (FYs 1977-81) and "Community Services Program--MR Element" (FYs 1982-84), with the exception of FYs 1983 and '84. The variance was accounted for by the fact that the budget documents only reported state funds for FYs 1983 and '84, whereas the Agency in correspondence also reported Title XIX Community Care Waiver Federal funds (see note below).

A certain amount of funding in institutions has been utilized for support of individuals placed out to community alternatives. This money, which has been transferred internally from institutional operations to a special community-related account, has grown in recent years and, according to DMH officials will in subsequent fiscal years be specifically identified as community services spending (p.c., A. Marchetti, 9/3/86).

Other State Funds. This line included special levies and utility taxes, and a 12 1/2% private match to Federal Title XX (SSBG) funds.

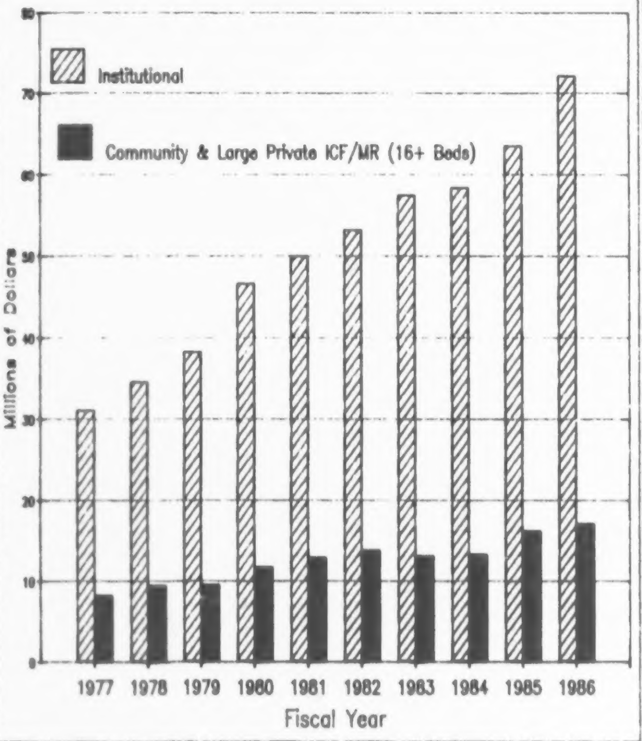
Private ICF/MR Small. The state Medicaid agency paid Federal share ICF/MR monies directly to private providers; these Federal fund amounts were obtained from DMH/MR (p.c., telephone, J. Dunlap, 5/2/86).

Waiver. The decrease in state funds for community services (from $8,617,500 in FY 1982 to $6,718,700 in FY 1983) was a result of the Federal Waiver revenue supplanting state funding.

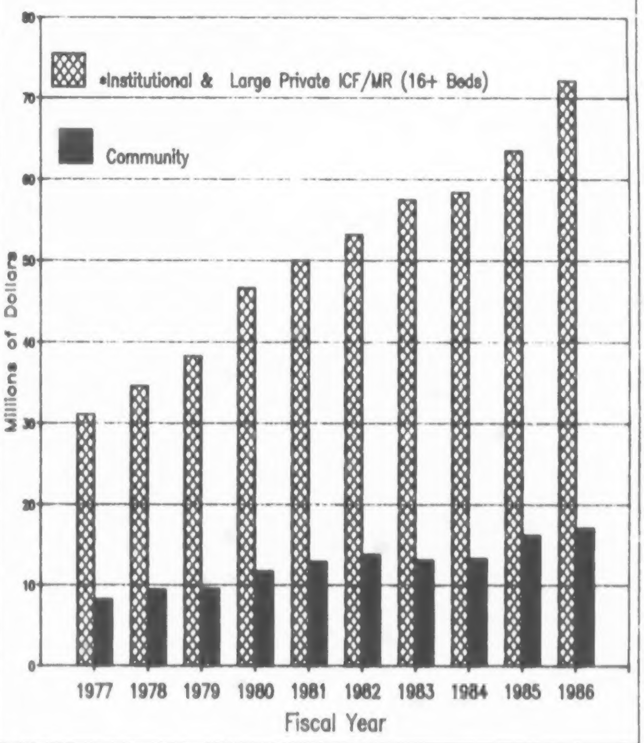
Federal Title XX/SSBG. In FY 1986, an amount of $1,100.0 thousand was budgeted for Title XX/SSBG revenue. However, according to a technical note in the 4/10/86 correspondence from Dr. Marchetti, DMH anticipated receipt of $366.7 thousand in Federal SSBG funds, and, in addition, a special legislative appropriation which would increase this by approximately $530.0 thousand. Therefore, the sum of these two--$896.7 thousand--was utilized in the analysis. There was a 12 1/2% state match and a 12 1/2% private match to these Federal Title XX/SSBG funds. The state match funds were included in State General Fund in this analysis, and the 12 1/2% private match funds were included in the Other State Funds line.

Other Federal Funds consisted of DD Act revenues (p.c., telephone, D. Scott, Alabama Developmental Disabilities Council, 10/13/83; correspondence, A. Marchetti, 4/10/86). The FYs 1977 and '78 figures each excluded $64,100 in funds administered by the Public Health Department for facility construction.

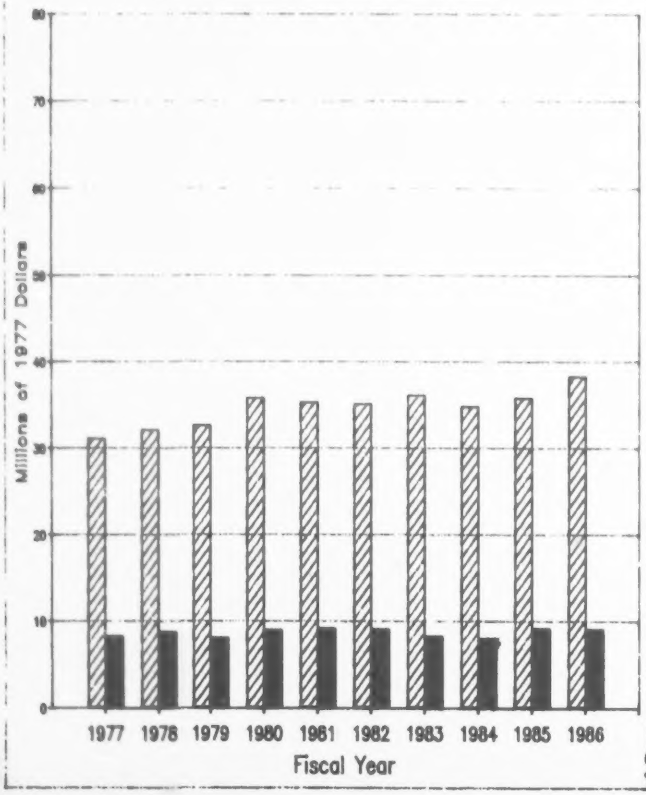
MR/DD Expenditures for *Institutional* & *Community* Services



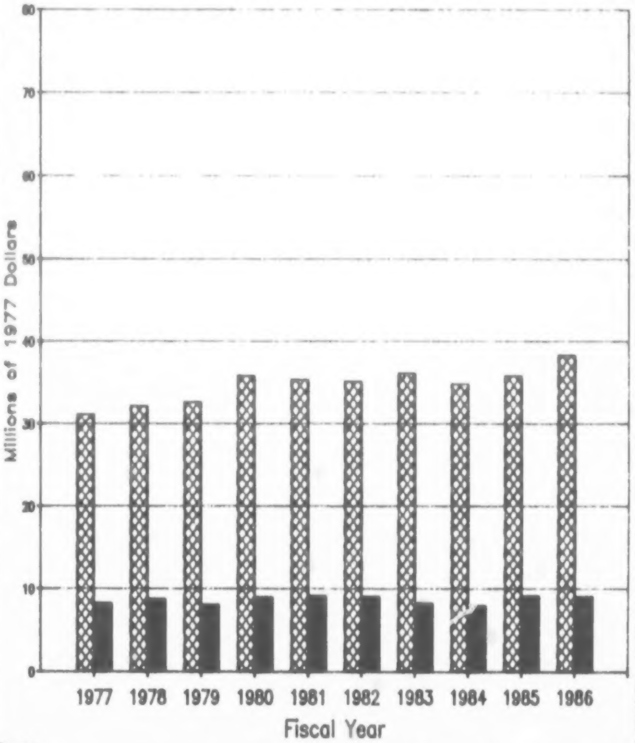
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



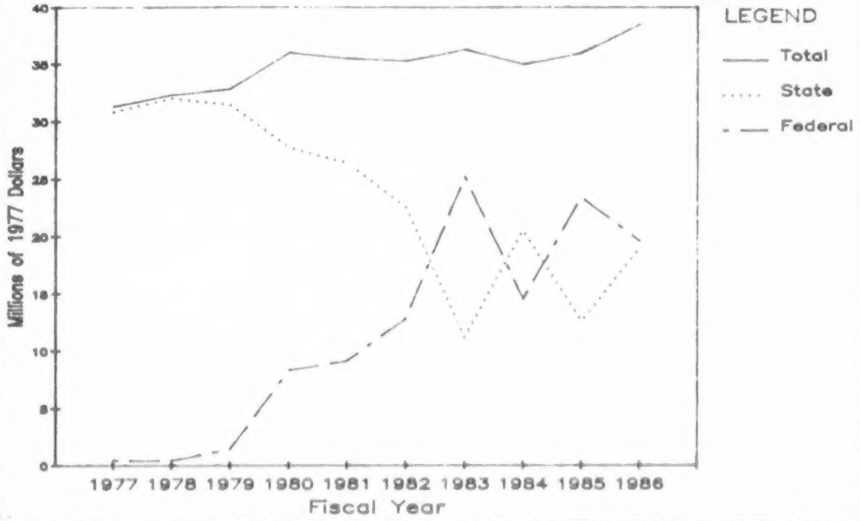
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

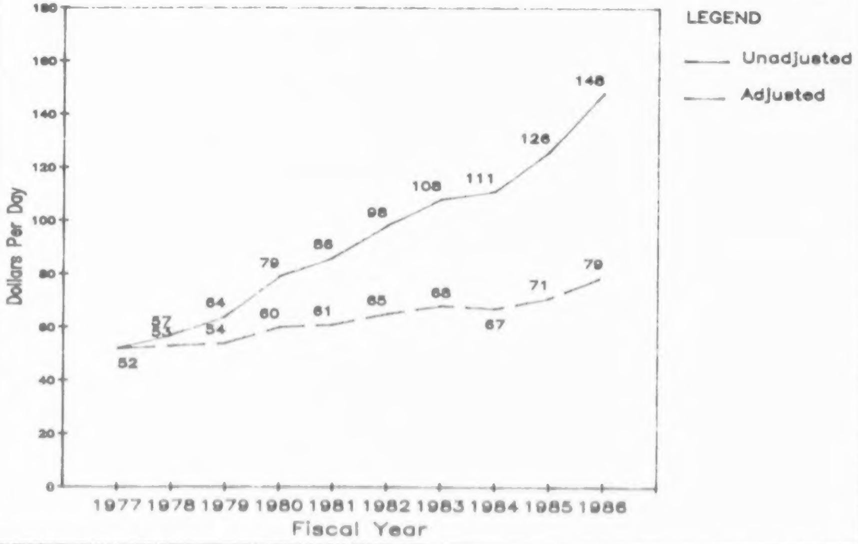
ALABAMA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

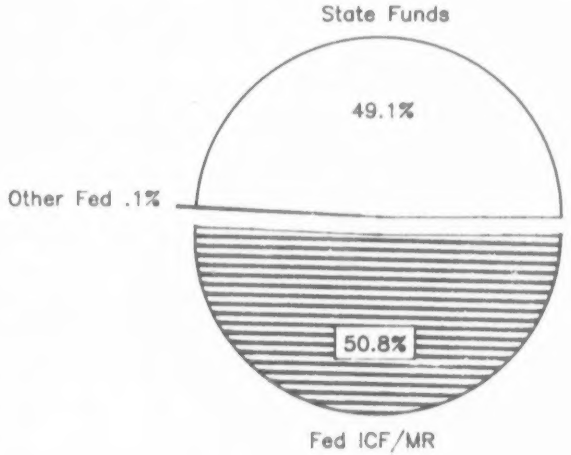


ALABAMA

Institutional Per Diem Costs: FY 1977–86

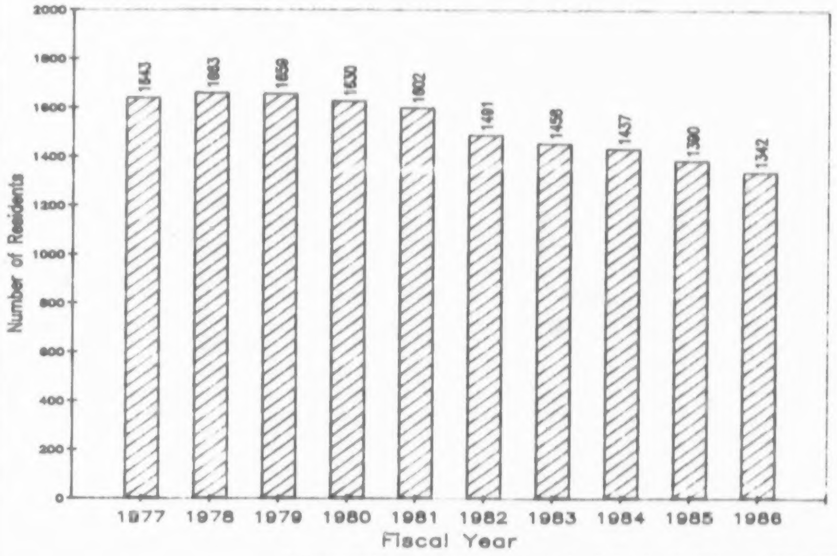


Institutional Revenue Detail: FY 1986 (Unadjusted)

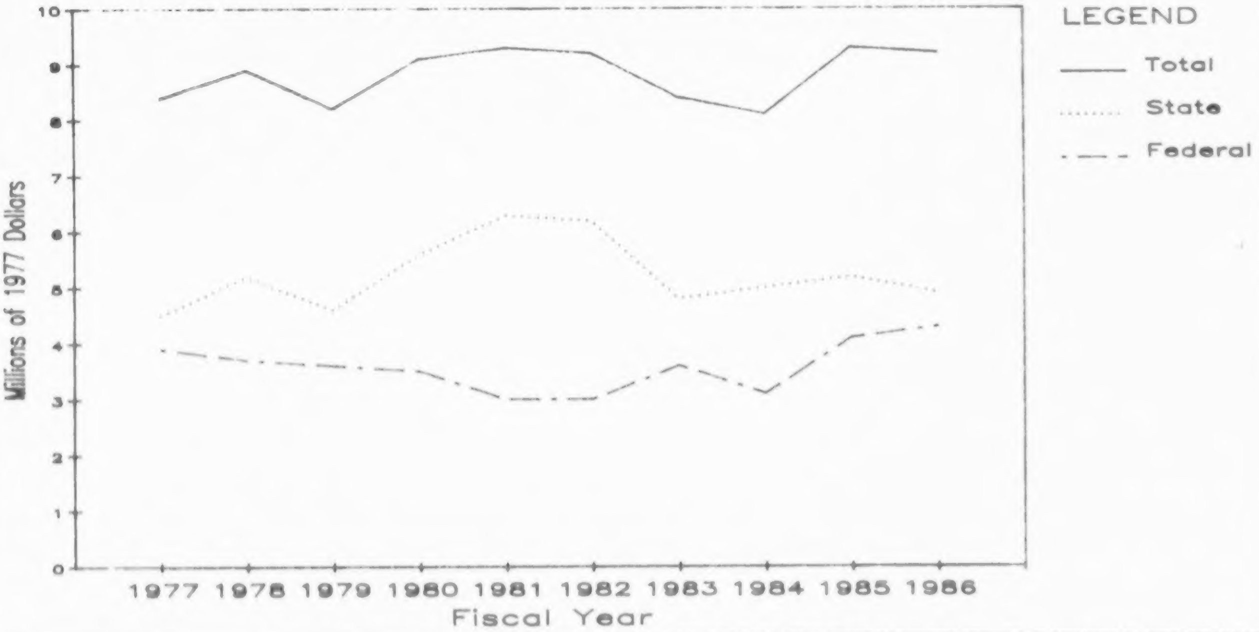


FY 1986 Total Funds: $72.3 Million

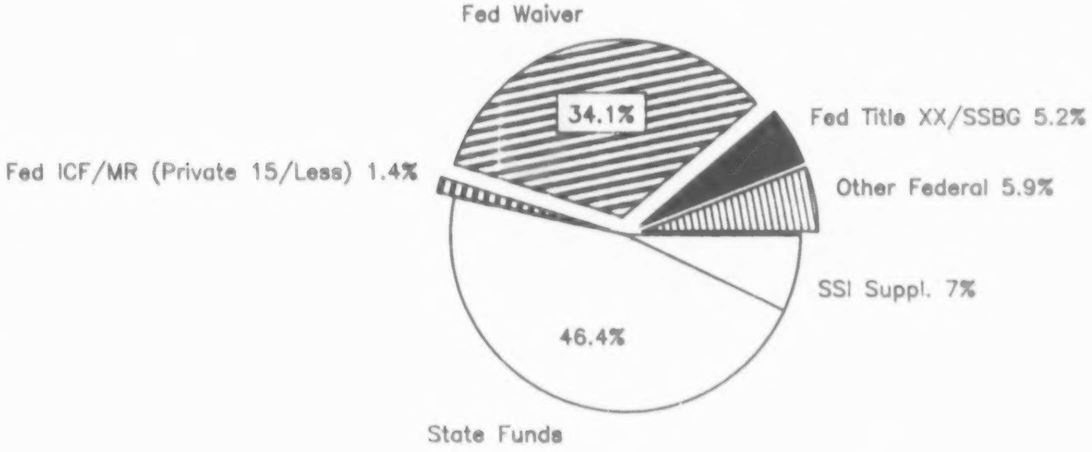
Average Daily Residents in Institutions



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986


ALABAMA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86

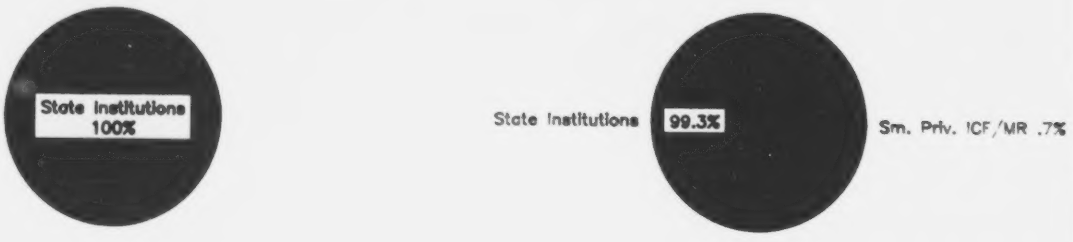

Community Revenue Detail: FY 1986 (Unadjusted)

FY 1986 Total Funds: $17.3 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

ALABAMA

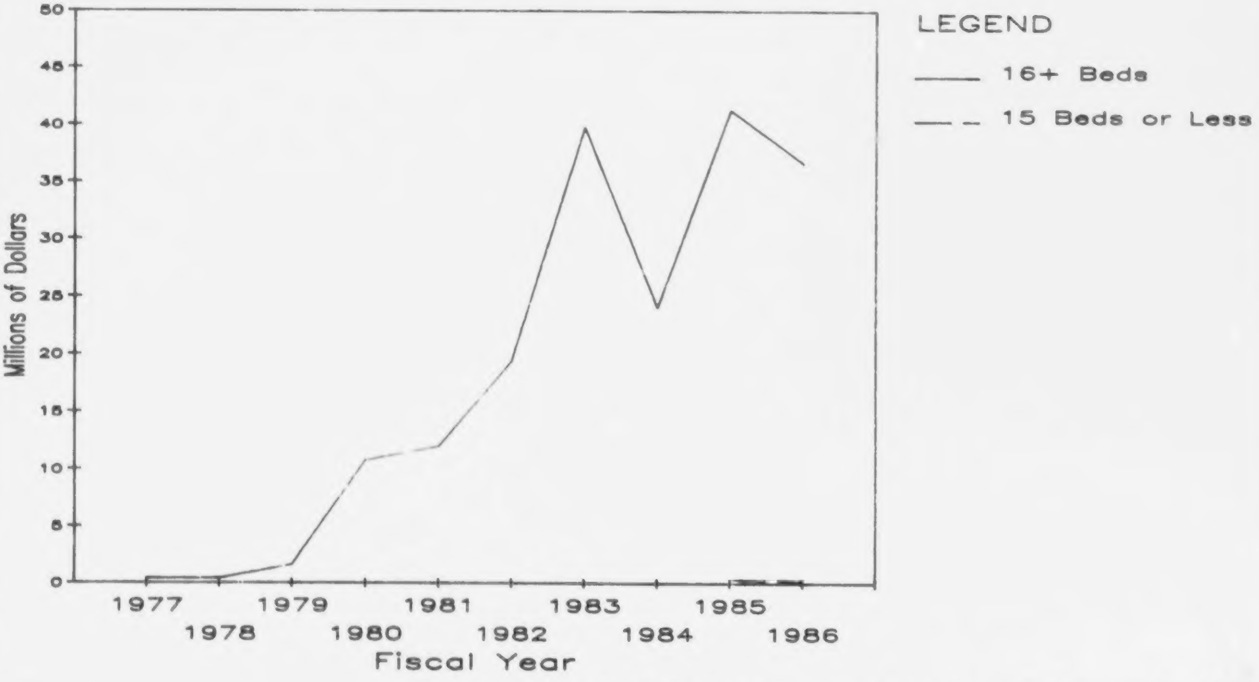
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



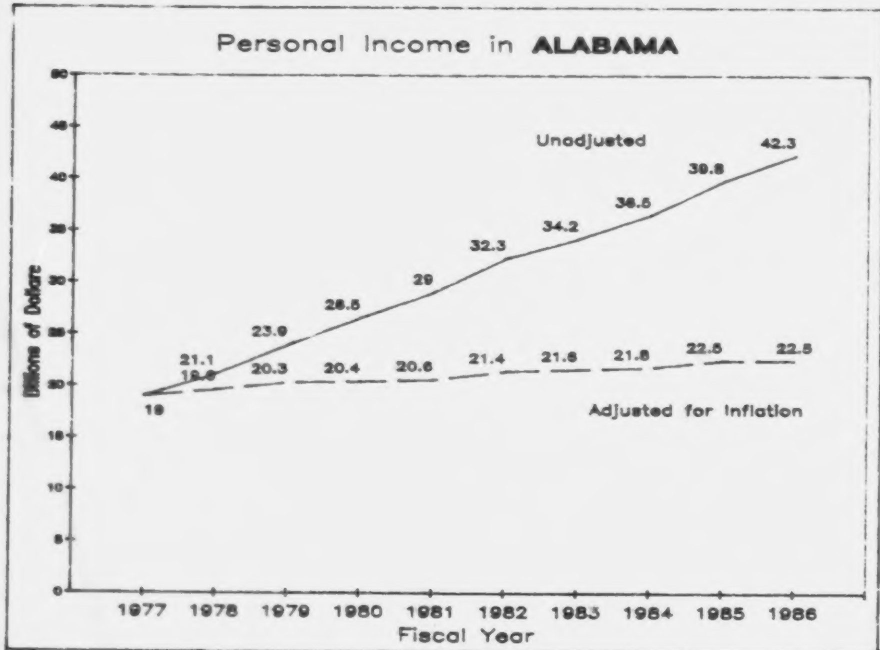
FY 1977 Total Federal Funds: $.433 Million

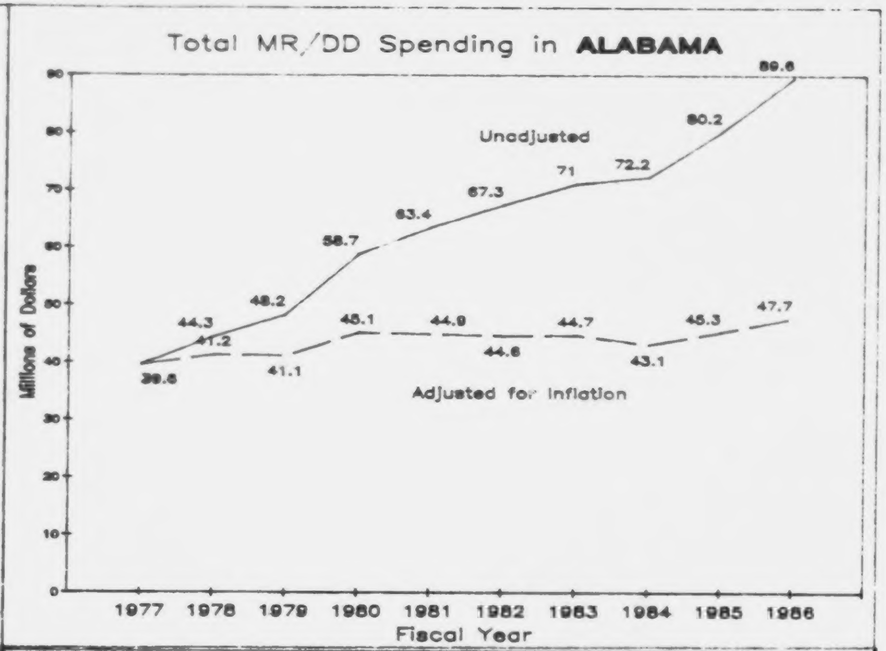
FY 1986 Total Federal Funds: $36.9 Million

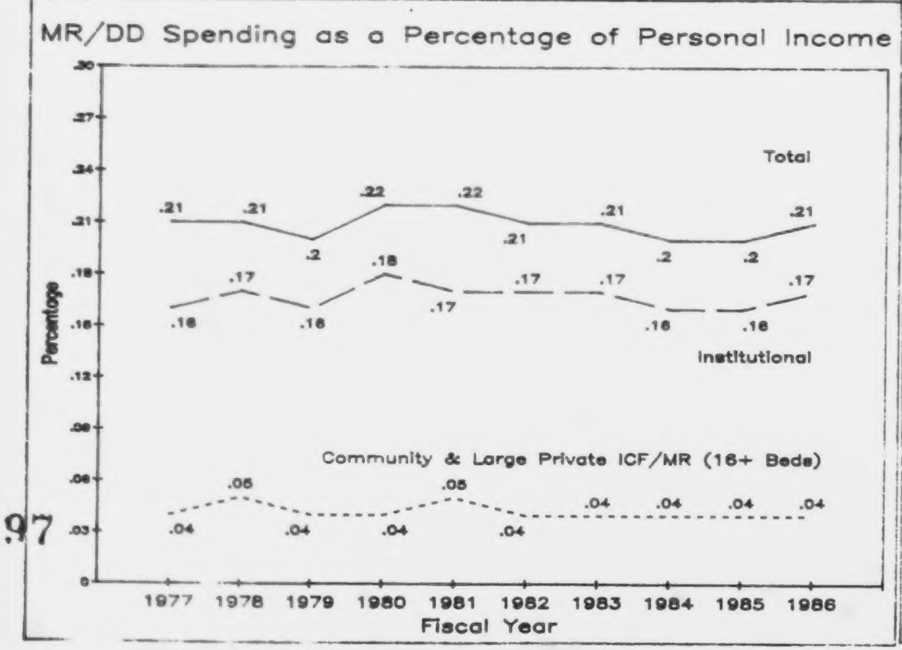
By Facility Size, FY 1977—86



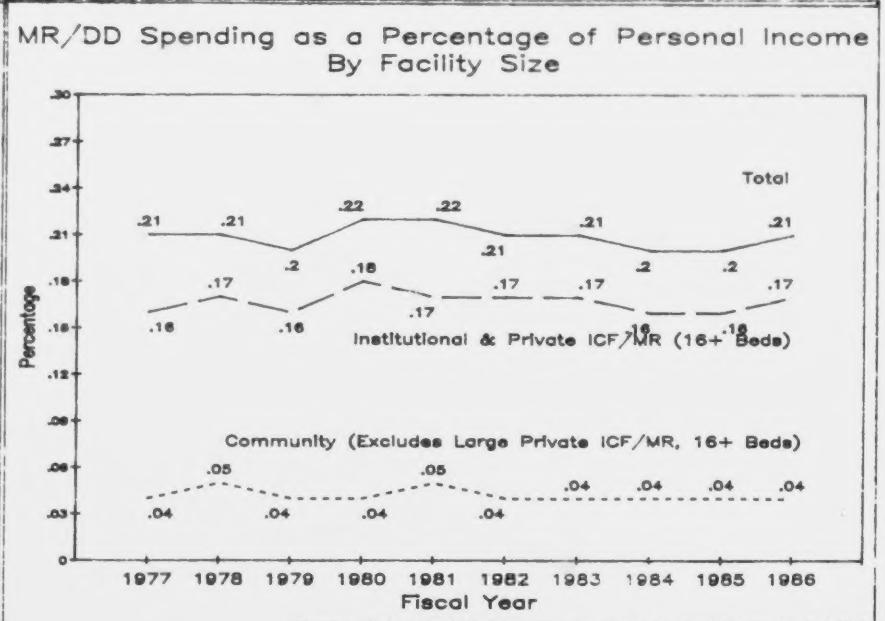
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986


Personal Income in **ALABAMA**


Total MR/DD Spending in **ALABAMA**


MR/DD Spending as a Percentage of Personal Income

97


MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

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ALABAMA 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	72,168,500	80,496,700	88,598,200	105,583,000	119,683,000	130,600,500	139,755,800	148,162,600	162,064,300	178,084,000
TOTAL INSTITUTIONAL/COMMUNITY	39,617,500	44,323,700	48,194,200	58,733,000	63,342,000	67,321,500	71,012,800	72,140,600	80,138,300	89,550,000
STATE FUNDS	35,294,500	39,915,700	42,302,200	43,344,000	46,255,000	43,397,500	25,411,200	42,736,800	31,473,100	44,712,200
General Funds	12,113,000	9,950,000	9,390,000	9,768,000	19,121,000	11,817,000	7,419,900	12,000,500	9,290,300	20,846,800
SSI State Supplement	701,000	794,000	836,000	783,000	766,000	802,000	962,000	1,068,000	1,130,000	1,180,000
Other State Funds	22,480,500	29,171,700	32,076,200	32,793,000	26,368,000	30,778,500	17,029,300	29,668,300	21,052,800	22,685,400
FEDERAL FUNDS	4,323,000	4,408,000	5,892,000	15,389,000	17,087,000	23,924,000	45,601,600	29,403,800	48,665,200	44,837,800
Title XIX Funds	433,000	392,000	1,637,000	10,823,000	12,863,000	19,403,000	41,530,100	27,411,700	46,875,600	42,831,500
Title XX / SSBG Funds	3,315,000	3,436,000	3,403,000	3,714,000	3,372,000	3,645,000	2,838,100	923,400	714,500	896,700
Other Federal Funds	575,000	580,000	852,000	852,000	852,000	876,000	1,233,400	1,068,700	1,075,100	1,109,600
INSTITUTIONAL SERVICES FUNDS	31,261,000	34,773,000	38,542,000	46,838,000	50,205,000	53,381,000	57,693,600	58,611,500	63,719,000	72,322,600
STATE FUNDS	30,828,000	34,381,000	36,905,000	36,015,000	37,342,000	33,978,000	17,730,500	34,372,200	22,280,000	35,529,100
General Funds	10,970,000	8,874,000	8,473,000	8,388,000	15,895,000	9,563,000	5,380,900	9,899,100	6,821,600	18,393,100
Other State Funds	19,858,000	25,507,000	28,432,000	27,627,000	21,447,000	24,415,000	12,349,600	24,473,100	15,458,400	17,136,000
FEDERAL FUNDS	433,000	392,000	1,637,000	10,823,000	12,863,000	19,403,000	39,963,100	24,239,300	41,439,000	36,793,500
Federal ICF/MR	433,000	392,000	1,637,000	10,823,000	12,863,000	19,403,000	39,772,900	24,081,900	41,297,000	36,696,100
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	190,200	157,400	142,000	97,400
COMMUNITY WITH FEDERAL INCOME MAINT	40,907,500	45,723,700	50,056,200	58,745,000	69,478,000	77,219,500	82,062,200	89,551,100	98,345,300	105,761,400
COMMUNITY SERVICES FUNDS	8,356,500	9,550,700	9,652,200	11,895,000	13,137,000	13,940,500	13,319,200	13,529,100	16,419,300	17,227,400
STATE FUNDS	4,466,500	5,534,700	5,397,200	7,329,000	8,913,000	9,419,500	7,680,700	8,364,600	9,193,100	9,183,100
General Funds	1,143,000	1,076,000	917,000	1,380,000	3,226,000	2,254,000	2,039,000	2,101,400	2,468,700	2,453,700
SSI State Supplement	701,000	794,000	836,000	783,000	766,000	802,000	962,000	1,068,000	1,130,000	1,180,000
Other State Funds	2,622,500	3,664,700	3,644,200	5,166,000	4,921,000	6,363,500	4,679,700	5,195,200	5,594,400	5,549,400
FEDERAL FUNDS	3,890,000	4,016,000	4,255,000	4,566,000	4,224,000	4,521,000	5,638,500	5,164,500	7,226,200	8,044,300
ICF/MR Funds	0	0	0	0	0	0	0	0	330,900	244,500
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	330,900	244,500
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	1,757,200	3,329,800	5,247,700	5,890,900
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	1,757,200	3,329,800	5,247,700	5,890,900
Title XX / SSBG Funds	3,315,000	3,436,000	3,403,000	3,714,000	3,372,000	3,645,000	2,838,100	923,400	714,500	896,700
Other Federal Funds	575,000	580,000	852,000	852,000	852,000	876,000	1,043,200	911,300	933,100	1,012,200
FEDERAL INCOME MAINTENANCE	32,551,000	36,173,000	40,404,000	46,850,000	56,341,000	63,279,000	68,743,000	76,022,000	81,926,000	88,534,000
Suppl. Security Income (SSI)	24,329,000	27,036,000	29,750,000	34,197,000	40,452,000	45,596,000	49,650,000	56,288,000	61,362,000	65,487,000
Childhood Disability (SSDI)	8,222,000	9,137,000	10,654,000	12,653,000	15,889,000	17,683,000	19,093,000	19,734,000	20,564,000	23,047,000
F.F.P. Rate	73.79%	72.88%	72.58%	71.64%	71.32%	71.18%	71.13%	71.89%	72.14%	72.30%
Daily Institutional Population	1,643	1,663	1,659	1,630	1,602	1,491	1,458	1,437	1,390	1,342
Institutional Per Diem	52.13	57.29	63.65	78.51	85.86	98.09	108.41	111.44	125.59	147.65

ALASKA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Community and institutional services for the mentally retarded and developmentally disabled citizens of Alaska are administered by the Developmental Disabilities Section, Division of Mental Health and Developmental Disabilities, Department of Health and Social Services.

Budget Format. The budget format utilized in the State's documents was:

DEPARTMENT OF HEALTH AND SOCIAL SERVICES

HEALTH CATEGORY

- Public Health Program Area
- Health Information, Planning and Research
- Mental Health and Developmental Disabilities Program Area
  - Alcohol and Drug Abuse
  - Alaska Psychiatric Institute
  - Forensic Treatment and Evaluation
  - Community Mental Health Services
  - Harborview Developmental Center (the State DD facility)
  - Council for the Handicapped and Gifted
  - Community Developmental Disabilities Services
  - Mental Health Administration and Support
- Administration and Support Program Area
- Administration of Justice (Corrections)

The following fund sources were presented in the published budgets for the "Health Category" (and also for the "Social Services Category"):

- Federal Funds
- State General Funds
- Inter-agency Receipts
- Program Receipts
- Federal Revenue Sharing

This fund source detail, however, was not provided for the developmental disabilities budget areas.

Note on Data Sources. Alaska Executive Operating Budget documents were reviewed for FY 1979 and FYs 1981-84. These documents provided "actual" expenditure figures for FY 1977 and FYs 1979-82; "adjusted" expenditures for FYs 1978 and '83; and "Governor's Operating Budget" for FY 1984. Robert Gregovich, Ph.D., DD Program Administrator, DD Section, Division of MH/DD was contacted for clarification on developmental disabilities funding. Community and institutional services expenditure breakdowns for that eight-year period were obtained in a 7/29/83 phone interview with Virgil Bugayong, Division Accountant.

These figures were termed "actual" for FYs 1977-82; "revised estimate" for FY 1983; and "appropriated" for FY 1984. Subsequent (2/1/84) correspondence from Vicky Hessee, Secretary to the Program Administrator for DD, reflected slight decreases in institutional services (2%) in FY 1983 and slight increases in community services, for FYs 1983 and '84 (2% and 1 1/2%, respectively); the FY 1983 figures were classified in her correspondence as "actual" and the FY 1984 figures she reported were "appropriated." In the updating of the analysis for FYs 1984-86, the FY 1984 and FY 1985 (actual) and FY 1986 (authorized) expenditure figures for Harborview Developmental Center and for community services were provided in a 2/10/86 telephone interview with Mr. Virgil Bugayong, Office of Budget, Division of MH/DD.

Average daily population figures were obtainded from M. L. Vanderburg, Administrative Assistant, Harborview Developmental Center (p.c., telephone, 5/8/84) and from V. Bugayong (p.c., telephone, 2/10/86) for FYs 1984-86.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the figures reported for Harborview Developmental Center. The FY 1986 reduction in spending was related to additional out-placements from Harborview, into two additional 5-bed units at the privately-operated Hope Cottages (see discussion below).

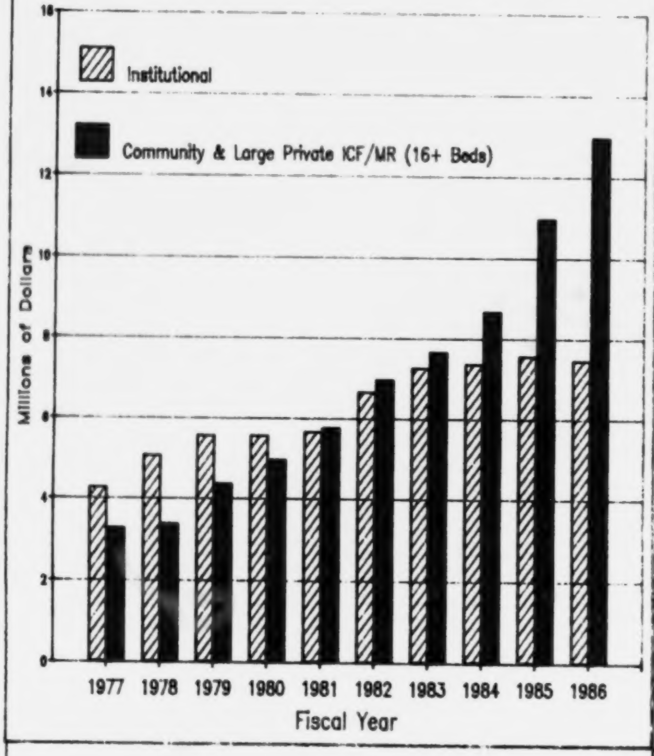
Federal ICF/MR. Gary Schaeffer, Administrative Officer, Division of MH/DD (p.c., telephone, 5/7/84), estimated that 96% of the Harborview expenditures each year were reimbursable by the Title XIX ICF/MR Program. Our analysis utilized this estimate, and applied the Federal/State match rates (available from the Health Care Financing Administration) to determine the portion of Federal Title XIX reimbursement for Harborview for FYs 1977-83. Fiscal Years 1984-86 figures for Federal ICF/MR reimbursements were provided by V. Bugayong (p.c., telephone, 2/10/86).

III. COMMUNITY SERVICES FUNDS

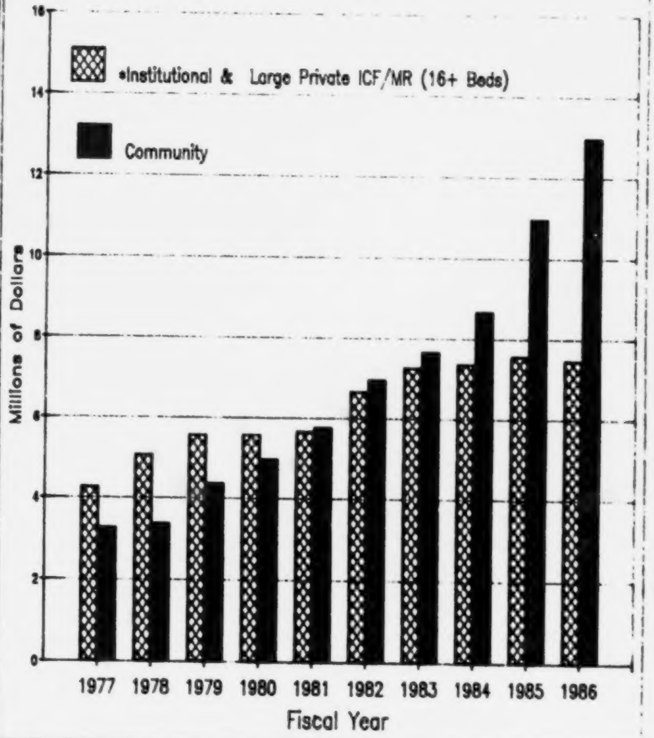
Community services spending was for Community Developmental Disabilities Services, and four ten-bed ICF/MR cottages (Hope Cottages).

Private ICF/MR Small. Expenditure figures for FYs 1979-84 were obtained in a telephone interview with Randy Moore, Division of Public Assistance. Fiscal years 1977 and '78 data were extrapolated, based on the average of the FY 1979-84 annual increments. Subsequently, expenditure figures for FYs 1984-85 (actual) and for FY 1986 (based on six months' year-to-date) were provided by Randy Super, Division of Public Assistance (p.c., telephone, 2/5/86).

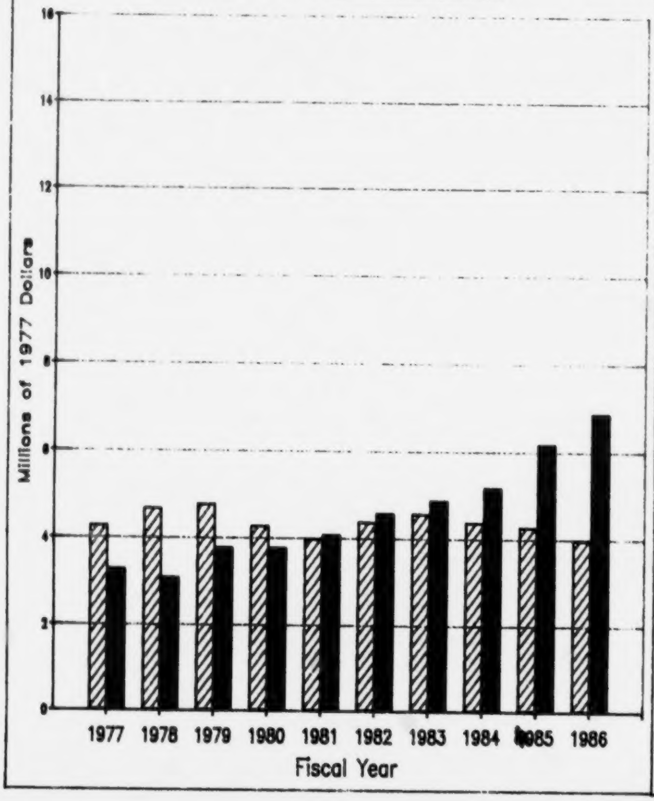
MR/DD Expenditures for *Institutional* & *Community* Services



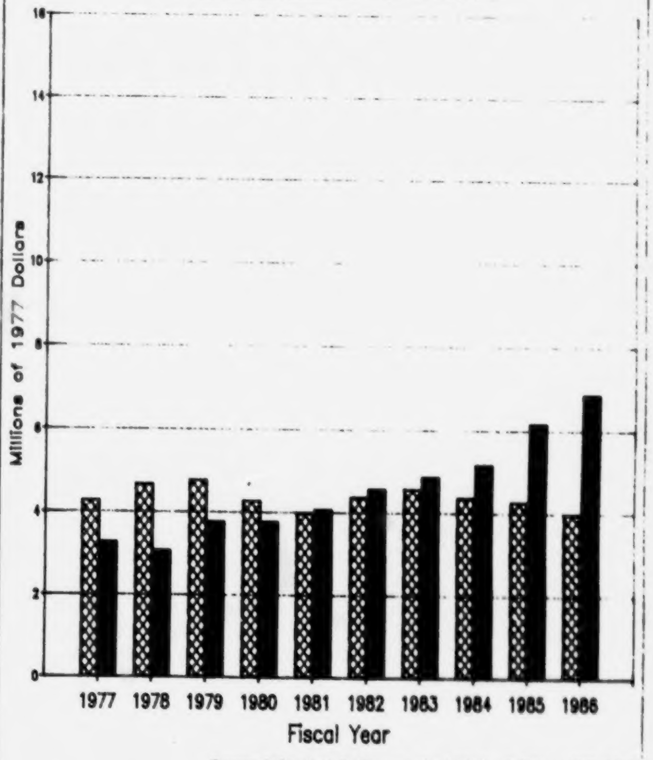
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



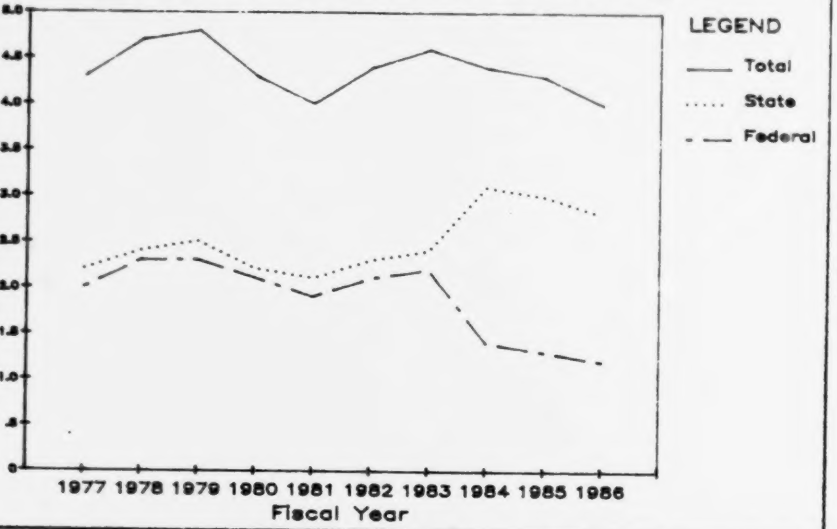
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

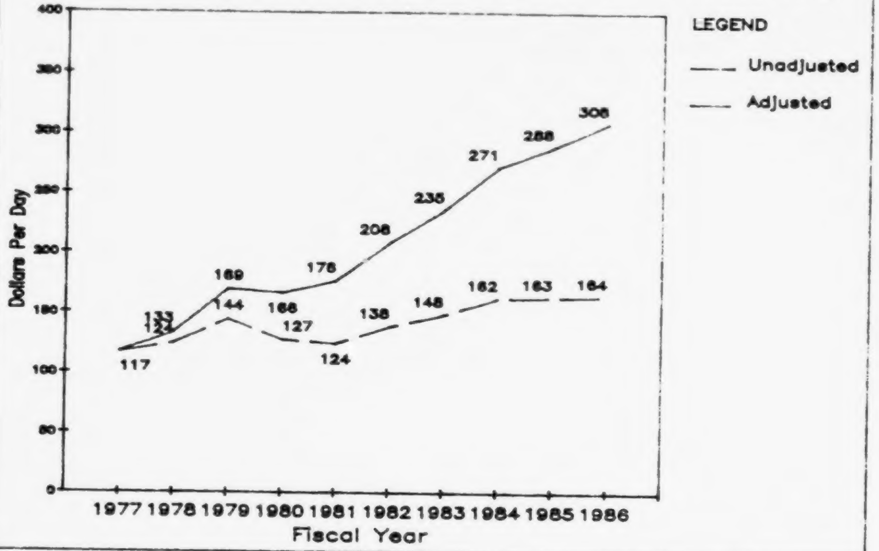
ALASKA

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

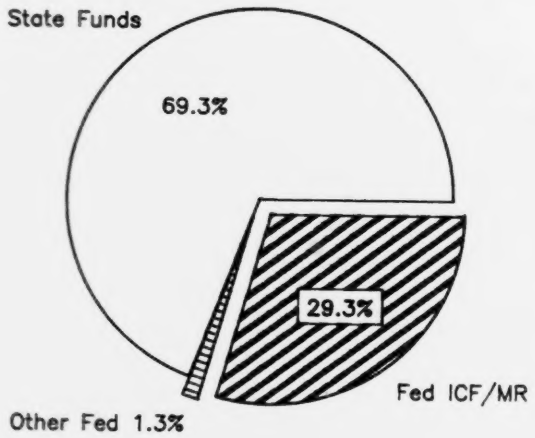


ALASKA

Institutional Per Diem Costs: FY 1977–86

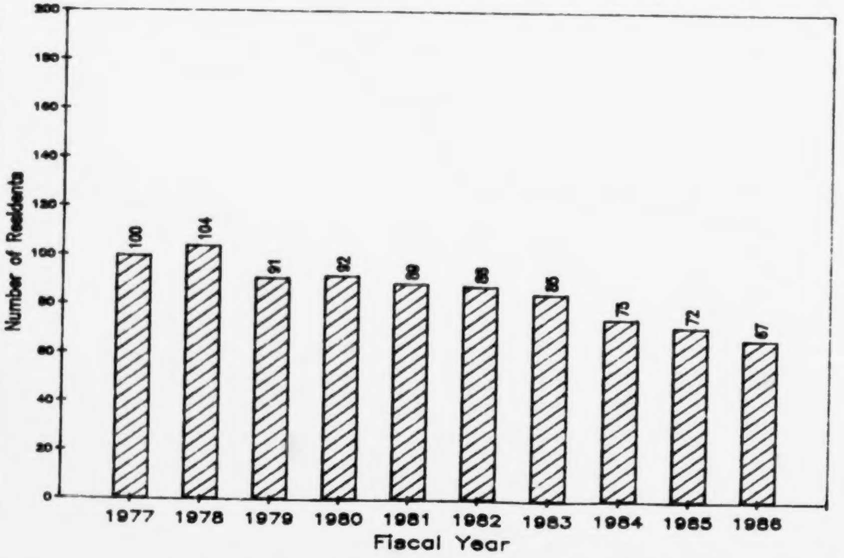


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $7.52 Million

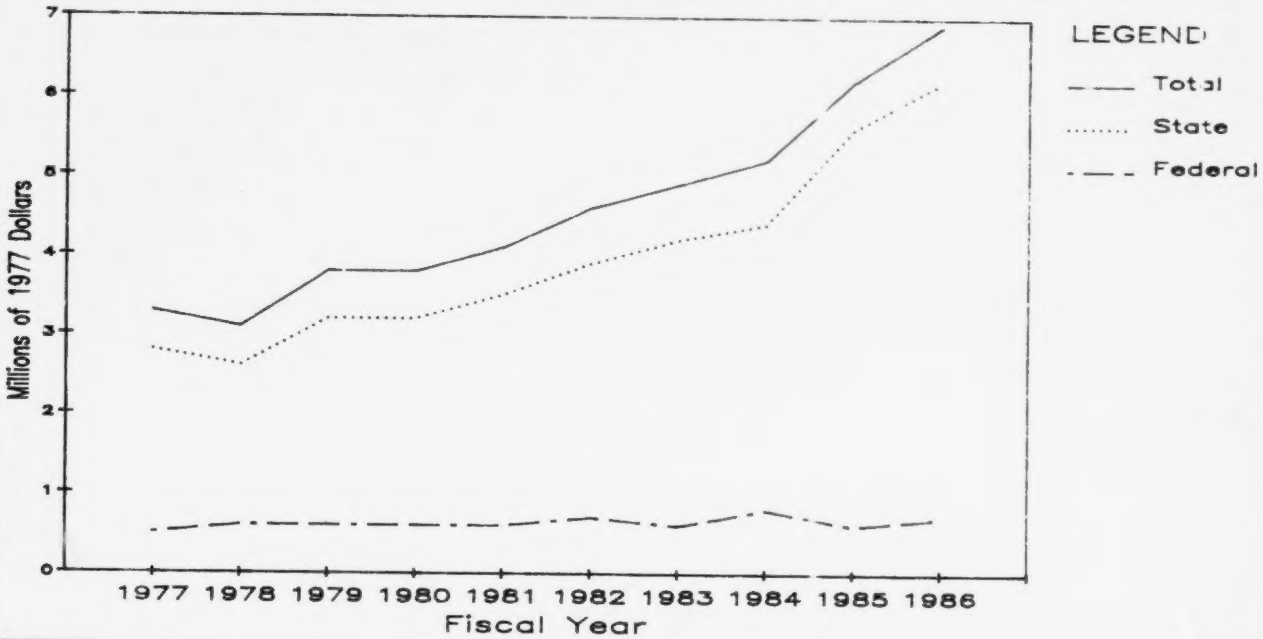
Average Daily Residents in Institutions



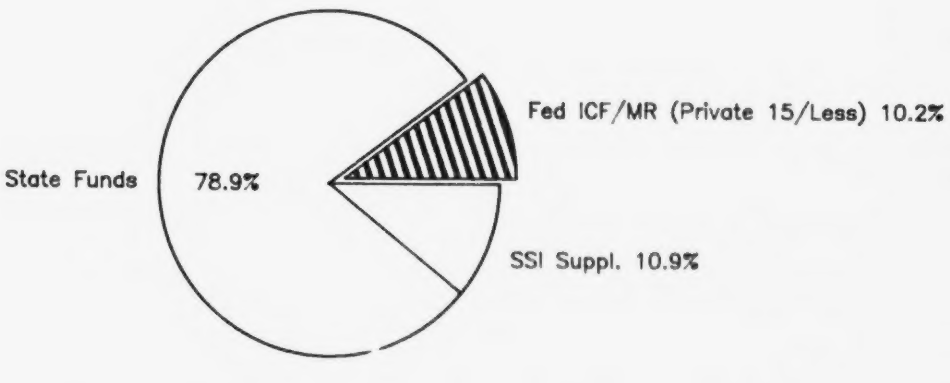
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

ALASKA

Community Spending Adjusted for Inflation
By Level of Government: FY 1977-86



Community Revenue Detail: FY 1986 (Unadjusted)

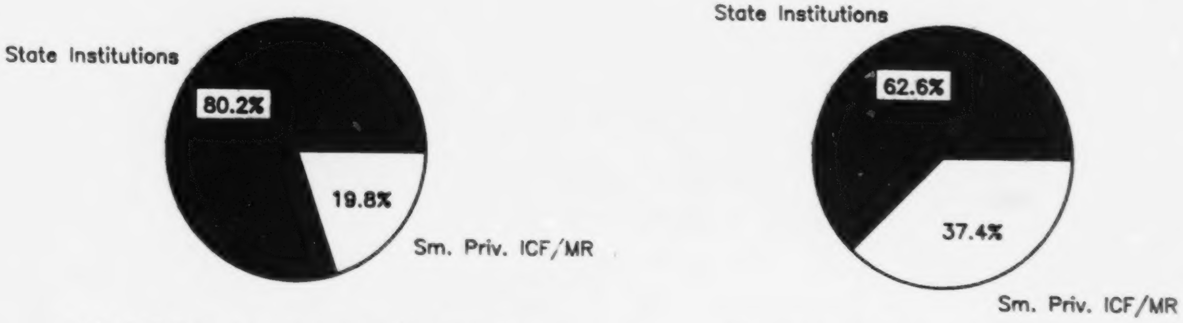


FY 1986 Total Funds: $13 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

ALASKA

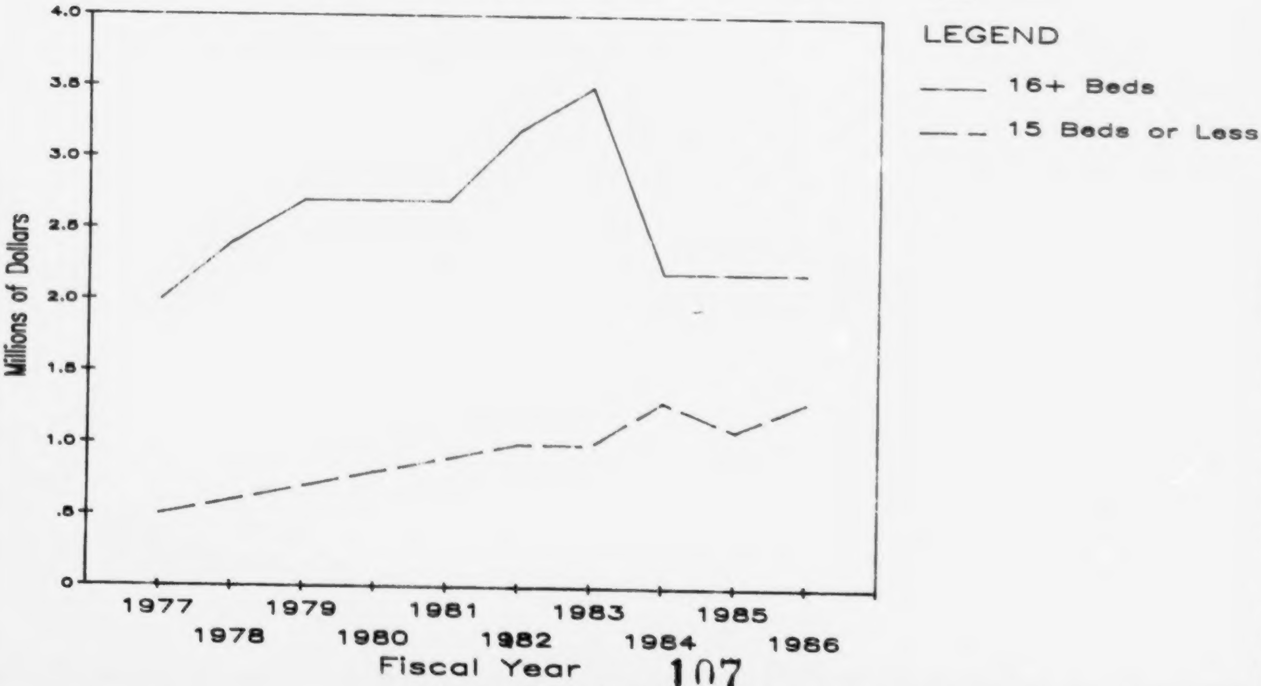
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $2.6 Million

FY 1986 Total Federal Funds: $3.6 Million

By Facility Size, FY 1977–86



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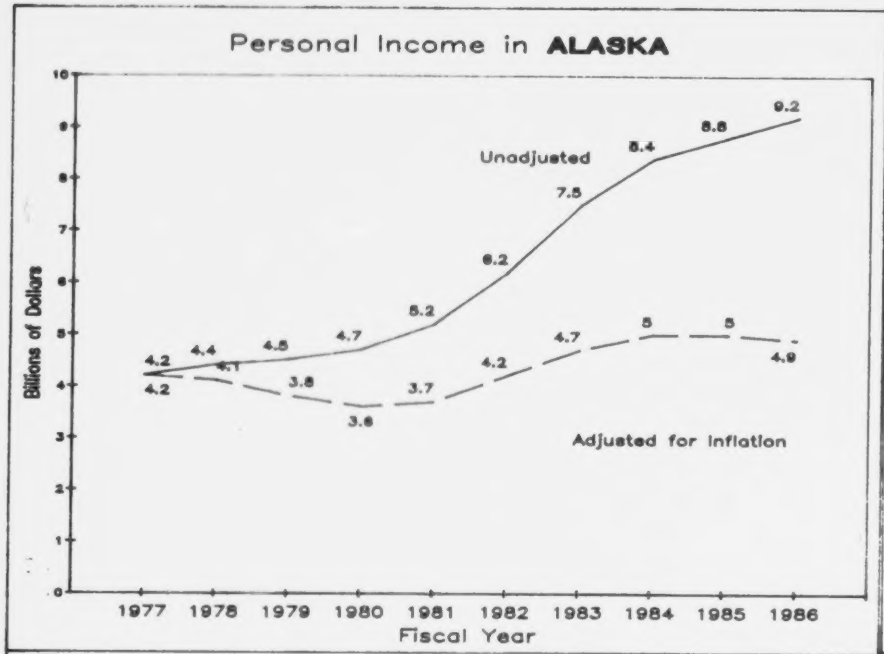
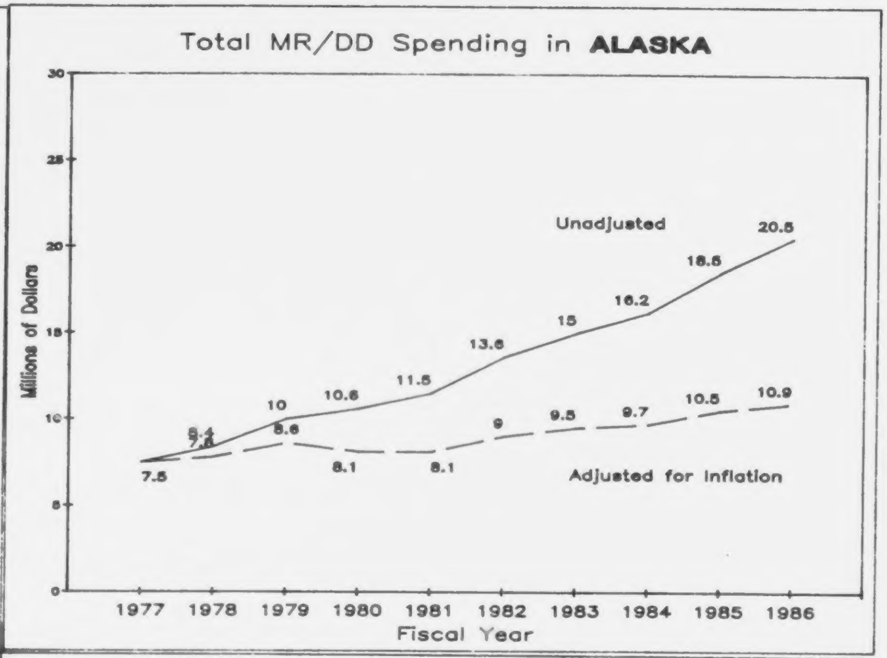
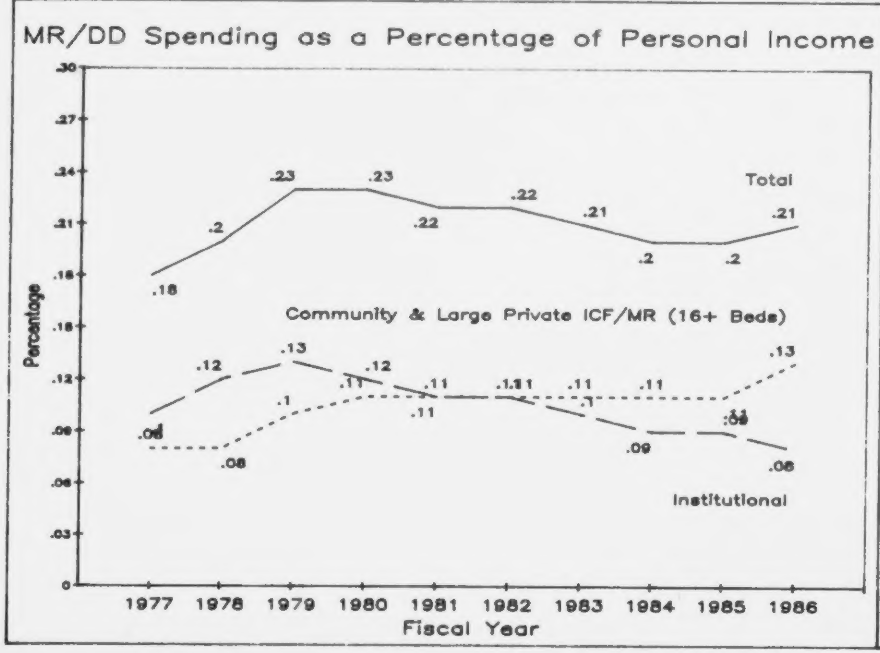
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



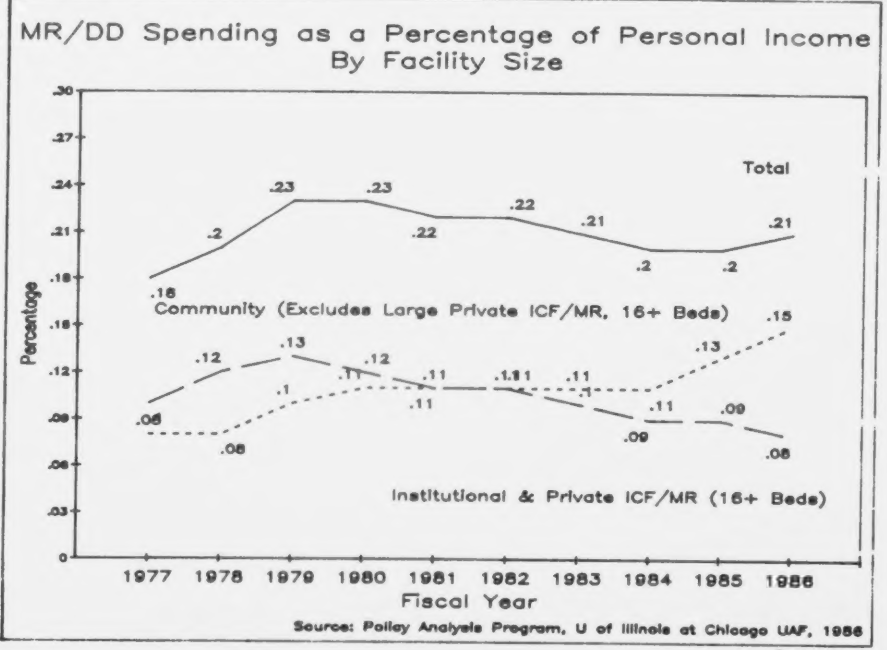
Personal Income in **ALASKA**



Total MR/DD Spending in **ALASKA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

ALASKA 4/2/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	8,042,000	8,976,000	10,959,000	11,603,000	12,745,000	15,073,000	16,456,000	17,777,700	20,326,400	22,549,300
TOTAL INSTITUTIONAL/COMMUNITY	7,539,000	8,432,000	10,048,000	10,572,000	11,498,000	13,642,000	15,012,000	16,170,700	18,530,400	20,529,300
STATE FUNDS	4,986,700	5,411,100	6,668,300	7,060,900	7,885,700	9,412,100	10,494,200	12,501,700	15,123,700	16,863,700
General Funds	4,590,700	4,968,100	6,250,300	6,856,900	7,723,700	9,135,100	9,500,200	8,754,200	11,189,200	12,836,200
SSI State Supplement	396,000	443,000	418,000	204,000	162,000	277,000	994,000	1,342,000	1,419,000	1,412,000
Other State Funds	0	0	0	0	0	0	0	2,405,500	2,515,500	2,615,500
FEDERAL FUNDS	2,552,300	3,020,900	3,379,700	3,511,100	3,612,300	4,229,900	4,517,800	3,669,000	3,406,700	3,665,600
Title XIX Funds	2,552,300	3,020,900	3,379,700	3,511,100	3,612,300	4,229,900	4,517,800	3,565,000	3,302,700	3,561,600
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	104,000	104,000	104,000
INSTITUTIONAL SERVICES FUNDS	4,263,000	5,054,000	5,618,000	5,573,000	5,711,000	6,681,000	7,285,000	7,442,600	7,572,000	7,522,000
STATE FUNDS	2,216,700	2,628,100	2,921,300	2,897,900	2,969,700	3,474,100	3,788,200	5,118,200	5,247,600	5,187,600
General Funds	2,216,700	2,628,100	2,921,300	2,897,900	2,969,700	3,474,100	3,788,200	2,712,700	2,832,100	2,772,100
Other State Funds	0	0	0	0	0	0	0	2,405,500	2,415,500	2,415,500
FEDERAL FUNDS	2,046,300	2,425,900	2,696,700	2,675,100	2,741,300	3,206,900	3,496,800	2,324,400	2,324,400	2,334,400
Federal ICF/MR	2,046,300	2,425,900	2,696,700	2,675,100	2,741,300	3,206,900	3,496,800	2,220,400	2,220,400	2,230,400
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	104,000	104,000	104,000
COMMUNITY WITH FEDERAL INCOME MAINT	3,779,000	3,922,000	5,341,000	6,030,000	7,034,000	8,392,000	9,171,000	10,335,100	12,754,400	15,027,300
COMMUNITY SERVICES FUNDS	3,276,000	3,378,000	4,430,000	4,999,000	5,787,000	6,961,000	7,727,000	8,728,100	10,958,400	13,007,300
STATE FUNDS	2,770,000	2,783,000	3,747,000	4,163,000	4,916,000	5,938,000	6,706,000	7,383,500	9,876,100	11,676,100
General Funds	2,374,000	2,340,000	3,329,000	3,959,000	4,754,000	5,661,000	5,712,000	6,041,500	8,357,100	10,064,100
SSI State Supplement	396,000	443,000	418,000	204,000	162,000	277,000	994,000	1,342,000	1,419,000	1,412,000
Other State Funds	0	0	0	0	0	0	0	0	100,000	200,000
FEDERAL FUNDS	506,000	595,000	683,000	836,000	871,000	1,023,000	1,021,000	1,344,600	1,082,300	1,331,200
ICF/MR Funds	506,000	595,000	683,000	836,000	871,000	1,023,000	1,021,000	1,344,600	1,082,300	1,331,200
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	506,000	595,000	683,000	836,000	871,000	1,023,000	1,021,000	1,344,600	1,082,300	1,331,200
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	503,000	544,000	911,000	1,031,000	1,247,000	1,431,000	1,444,000	1,607,000	1,796,000	2,020,000
Suppl. Security Income (SSI)	252,000	265,000	586,000	645,000	762,000	891,000	861,000	1,005,000	1,173,000	1,317,000
Childhood Disability (SSDI)	251,000	279,000	325,000	386,000	485,000	540,000	583,000	602,000	623,000	703,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
Daily Institutional Population	100	104	91	92	89	88	85	75	72	67
Institutional Per Diem	116.79	133.14	169.14	165.51	175.80	208.00	234.81	271.13	288.13	307.59

ARIZONA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The Division of Developmental Disabilities and Mental Retardation (Division of DD/MR) is within the Department of Economic Security. There are three state institutions; state-operated group homes; and "purchase of care" community services which have been included in this analysis.

Budget Format. The format for presentation of DD/MR figures in the State's budget documents was:

- Department of Economic Security
  - Division of DD/MR
    - General Funds
      - Operating Expenses and Personnel Costs
      - Purchase of Care
      - Other
    - Federal Funds
      - Title XX Group Homes
      - Title XX Staffing
      - Institutional Programs
      - Other

Note on Data Sources. State of Arizona Executive Budget documents for budget years 1979-84 (the FYs 1983 and '84 documents were on microfiche) were reviewed. Federal Programs documents for FYs 1979 and '81 were also reviewed. The Executive Budgets provided "actual" expenditure figures for FYs 1977-82; "budgeted" expenditures for FY 1983; and a "recommended" expenditure for FY 1984. Subsequently, we reviewed the Department of Economic Security's FYs 1985-86 Executive Budget request, which provided actual figures for FY 1984, estimated figures for FY 1985, and agency request for FY 1986.

A series of telephone interviews and correspondence commencing 9/9/83 with Division of DD/MR staff (Joanie Seaver, Program and Project Specialist; Bruce Liggett, Program Administrator) provided clarification on funding source breakdowns. In the information provided, figures for FYs 1981-83 were categorized "budgeted" (they were from Division of DD/MR budget documents). Fiscal Year 1985 (actual) and FY 1986 (appropriated) figures were provided by J. Seaver, Contracts and Finance Manager, Division of Developmental Disabilities (p.c., telephone, 1/7/86).

Average daily population figures were provided by J. Seaver (p.c., telephone, 6/11/84 and 1/7/86). Figures for FY 1985 and FY 1986 included 23 respite beds which were maintained at 50% of capacity or more.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the expenditures for the Coolidge, Phoenix and Tucson Training Programs. There was an expenditure decrease between FY 1985 and FY 1986 due to deinstitutionalization of approximately 60 individuals; however, there were compensating increases from merit evaluation costs, waiting list costs, and cost of living adjustments amounting to $700.0 thousand.

Other State Funds in the analysis consisted of revenue from "institutional client billing."

Federal ICF/MR. None. Arizona does not have a Medicaid program.

Federal Title XX/SSBG. Arizona Division of DD/MR officials indicated (p.c., telephone, J. Seaver, 9/27/83; B. Liggett, 11/9/83) that the Department of Economic Security was Arizona's designated agency for Title XX (Social Services Block Grant) funds. These Federal funds were utilized in various programs within the DD/MR Division, including the outreach program at state institutions.

Other Federal Funds. The expenditure figures reported here were obtained from the published Arizona Federal Programs budget documents for FY 1978/79, and consisted primarily of Foster Grandparent and Deaf-Blind Program funds.

III. COMMUNITY SERVICES FUNDS

Community services consisted of expenditures for "purchase of service," with revenues from "Local Plan Title XX"; "Mesa Land Income"; and "Community Client Billing." The DD/MR Division operated 12 group homes, and these state-operated group home (S.O.G.) costs were included in the General Revenue Fund for the Arizona Training Programs (institutions). For our analysis, these amounts were re-assigned to community services.

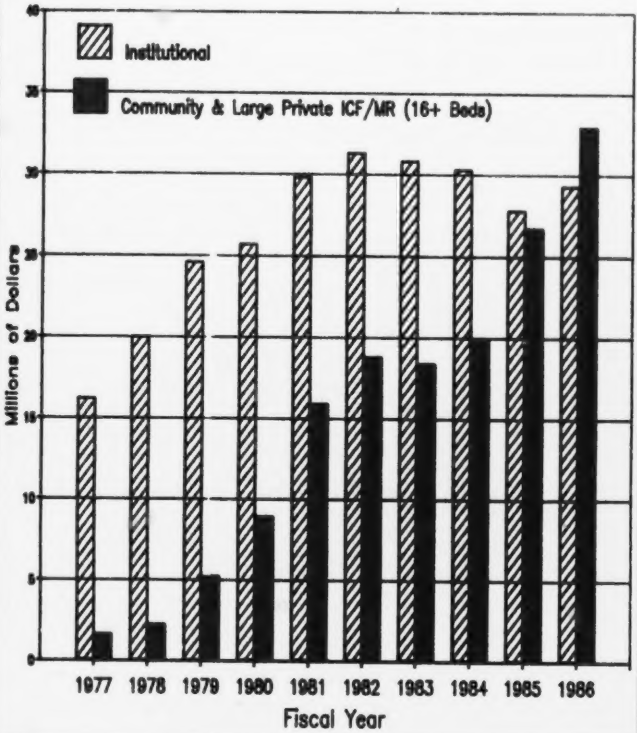
Arizona's spending for MR/DD individuals reached parity in FY 1986 in terms of institutional and community spending, due to: spending for a number of people on Training Program waiting lists who received community services; increases in foster care; annualization of the community costs of approximately 60 individuals deinstitutionalized; "aging out" of public school students who were then covered by the Division's Purchase of Service (P/S) funding; and, a 10% increase in P/S contracts ($1.7 million).

Other State Funds in the analysis consisted of Community Client Billing, S.O.G. client billing and Mesa Land Income which was dedicated to S.O.G.'s. (There was a one-time increase in the community client billing account in FY 1985 of approximately $500.0 related to start-up of group homes).

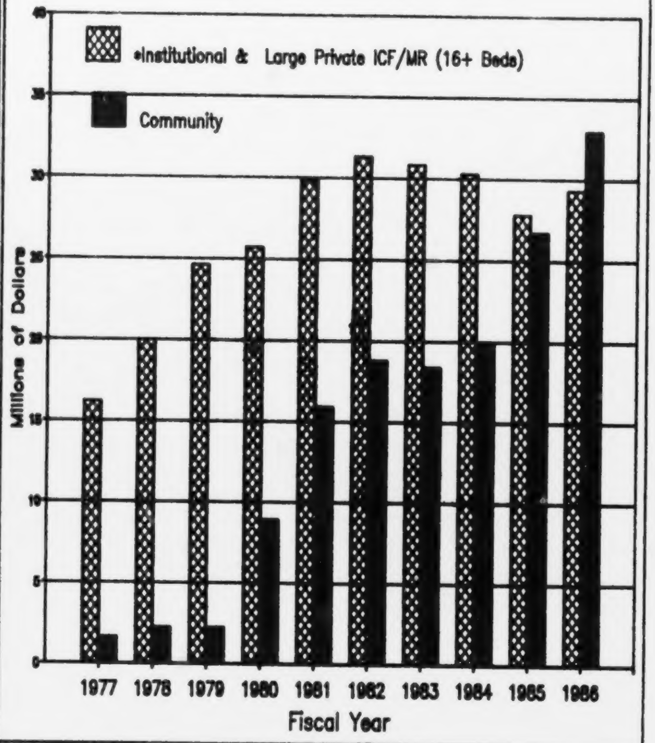
Federal Title XX/SSBG for FY 1979 and FY 1980 consisted of "Title XX Group Home" figures obtained from the FY 1980/81 Federal Program Book; the FY 1981-84 figures were a combination of "Title XX Local Plan" and "Title XX Group Home" expenditures. In FY 1979 and FY 1980, the community Title XX funds were exclusively reimbursing Group Homes; however, "Title XX Local Plan" as a percentage of total Community Services Title XX then increased from 70% (in FY 1981) to 100% (in FY 1984).

Other Federal Funds. Although expenditure figures for "developmental disabilities" and "Federal DD" were reported in the FY 1978/79 and the FY 1979/80 Executive Budget books, the programs were not administered by the Division, and therefore these funds were not included in the current analysis.

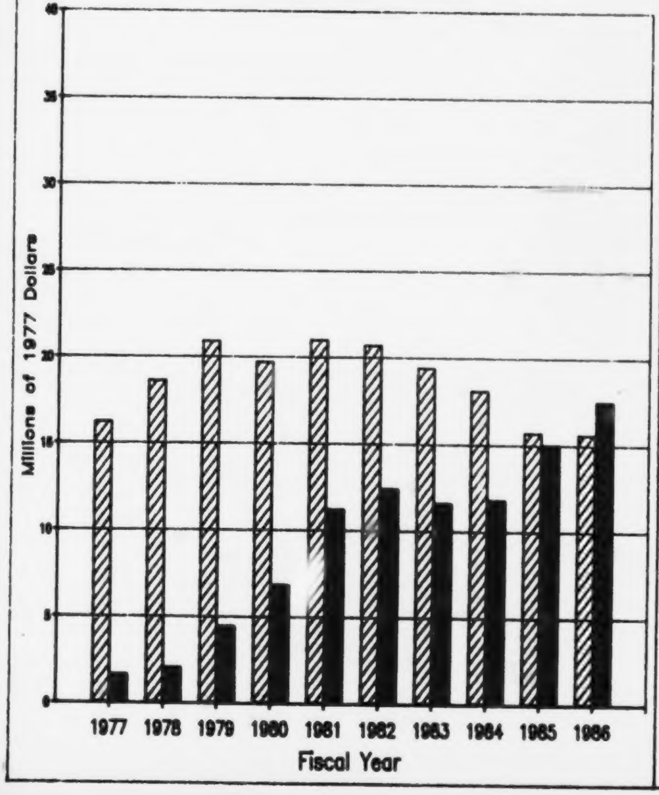
MR/DD Expenditures for *Institutional* & *Community* Services



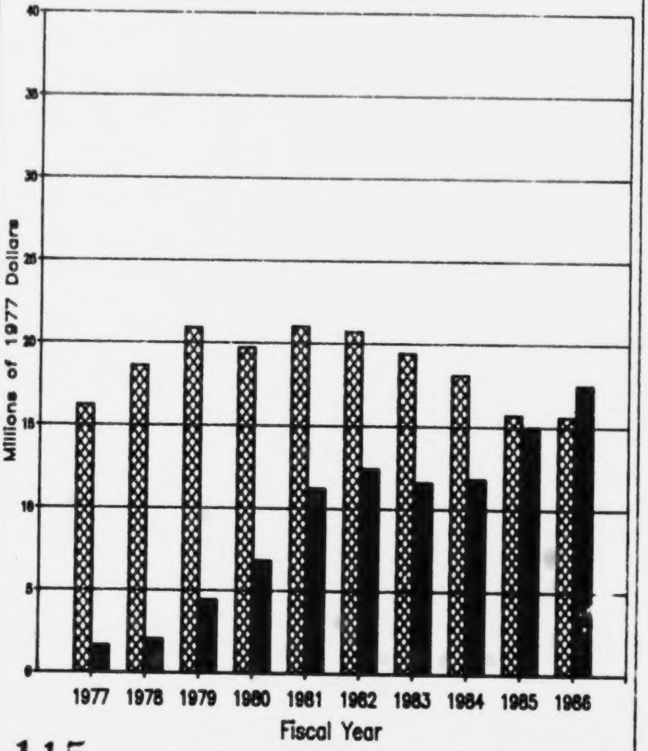
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



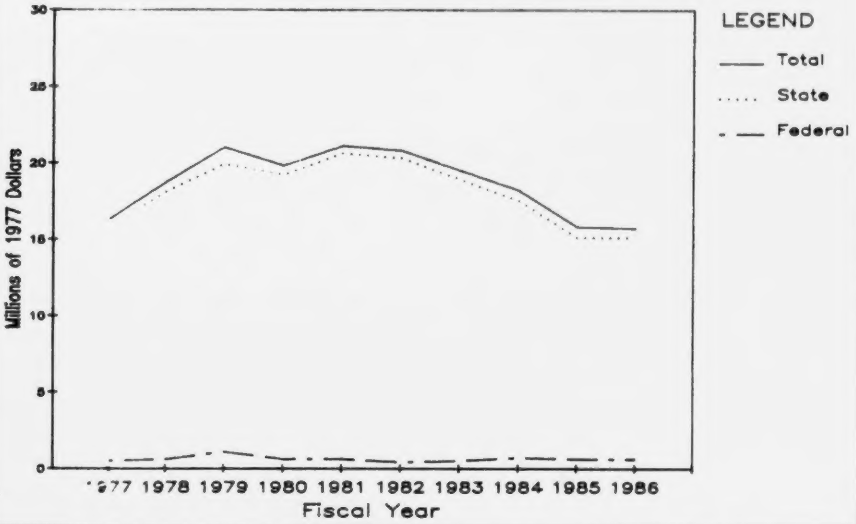
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

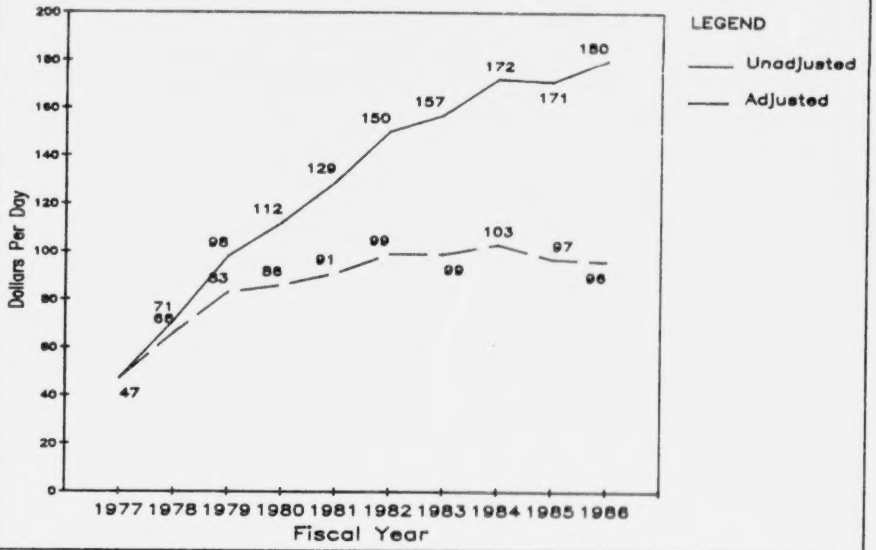
ARIZONA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

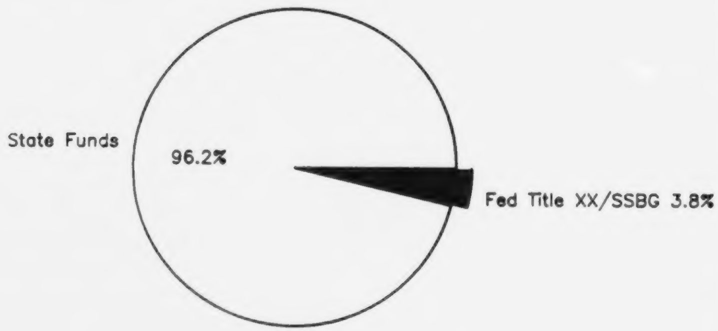


ARIZONA

Institutional Per Diem Costs: FY 1977–86

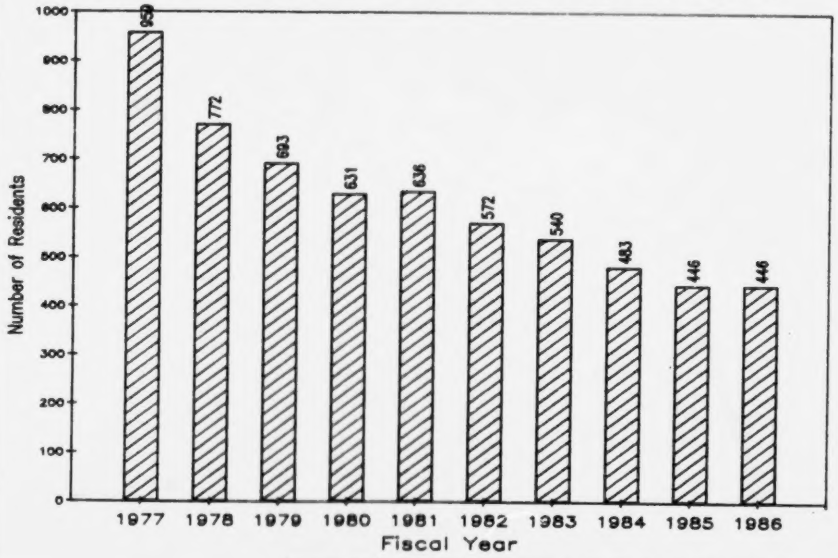


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $29.4 Million

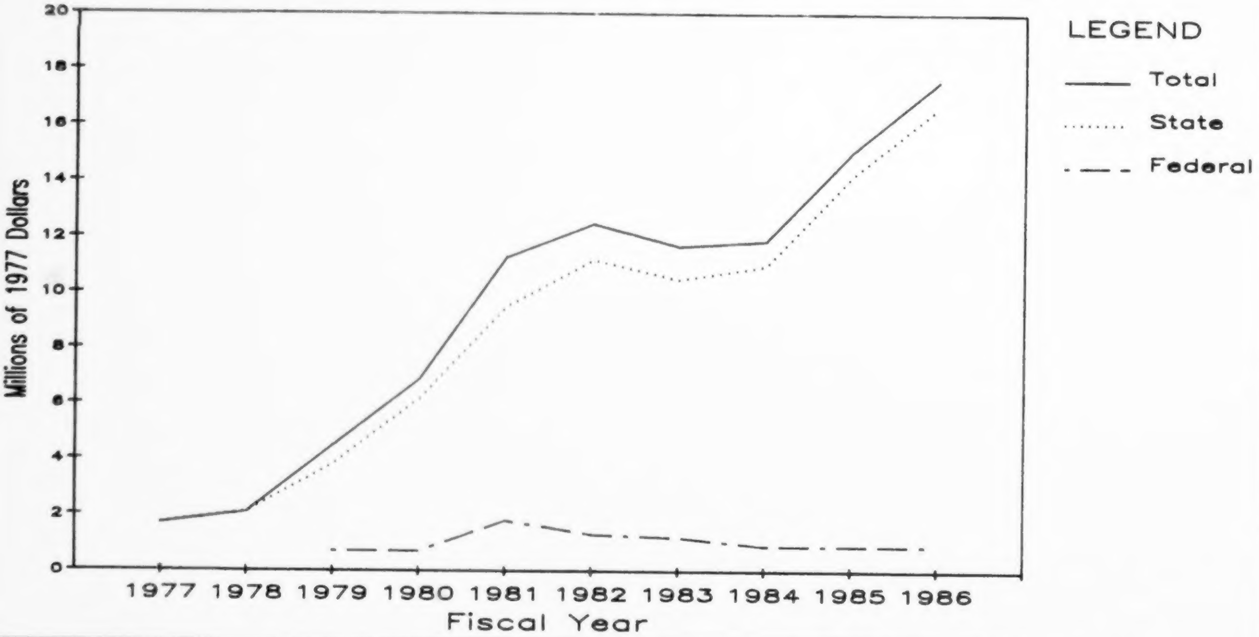
Average Daily Residents in Institutions



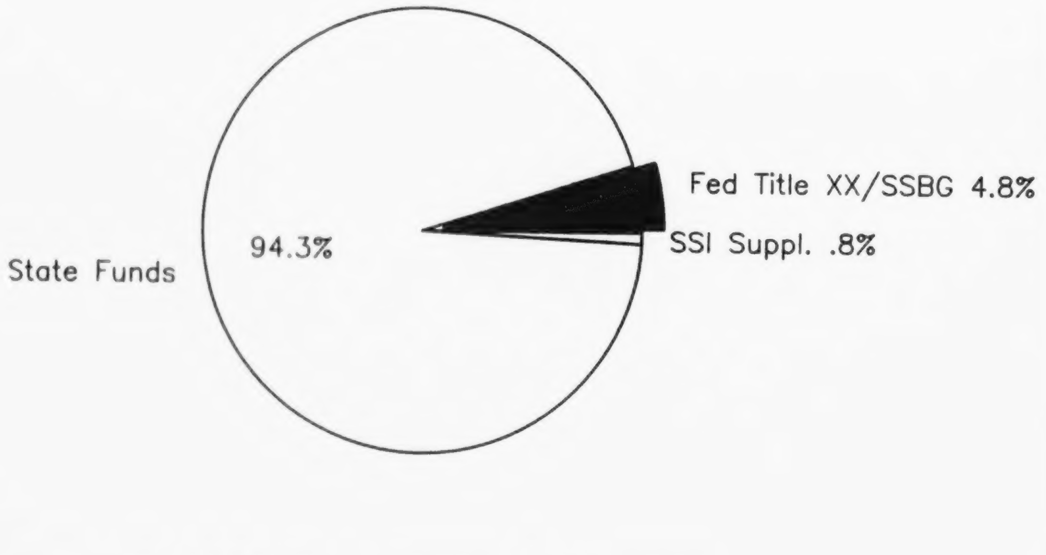
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

ARIZONA

Community Spending Adjusted for Inflation
By Level of Government: FY 1977-86



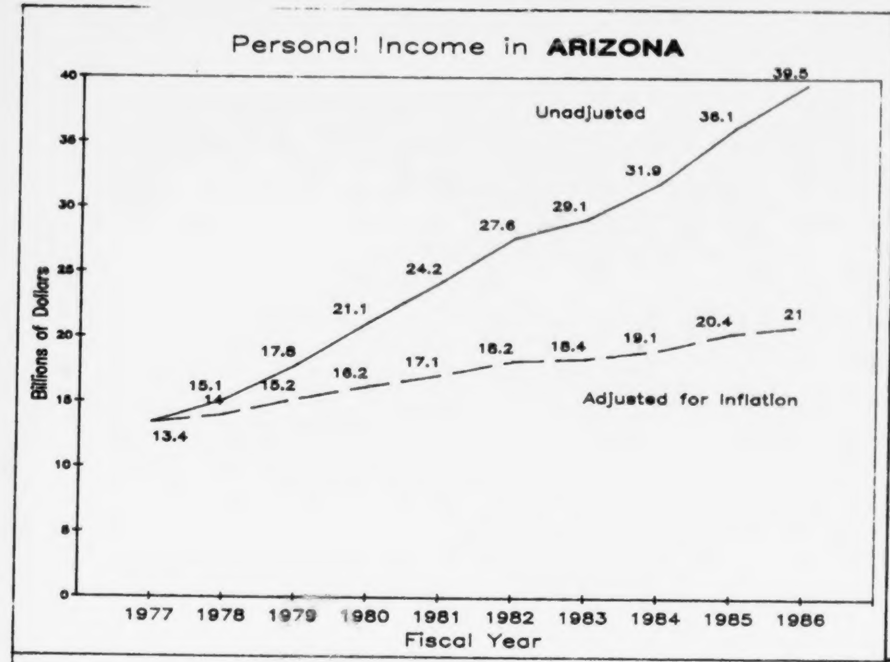
Community Revenue Detail: FY 1986 (Unadjusted)

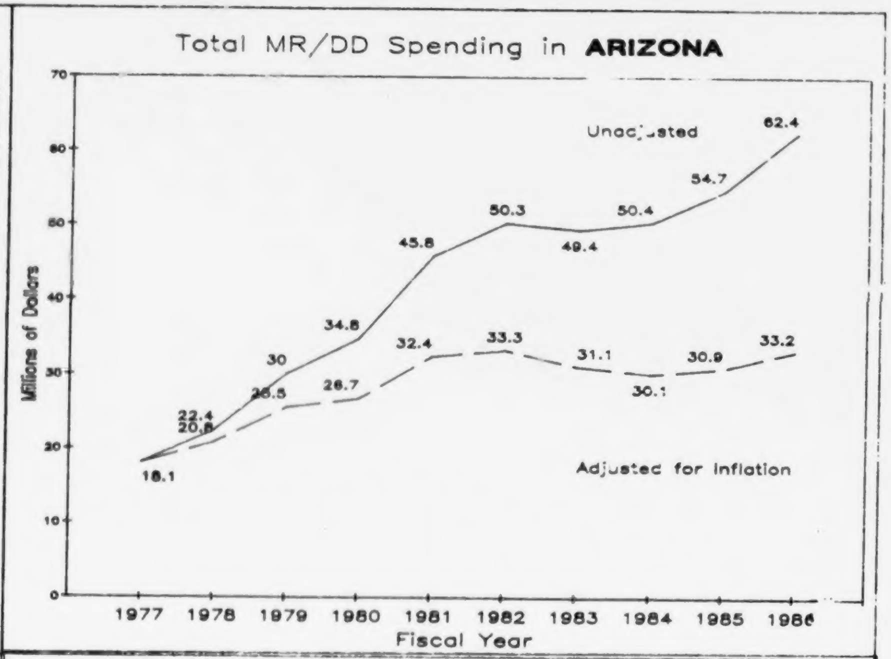


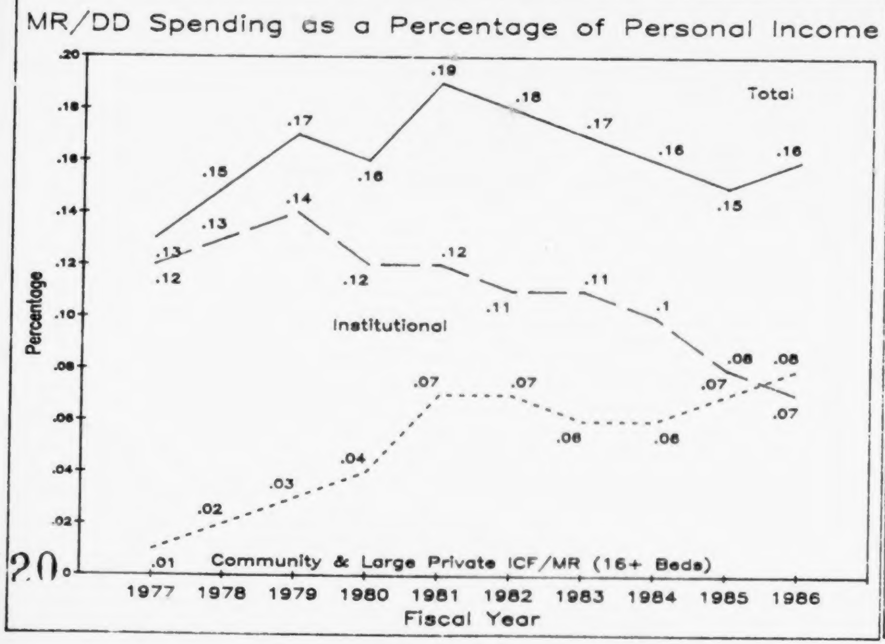
FY 1986 Total Funds: $33 Million

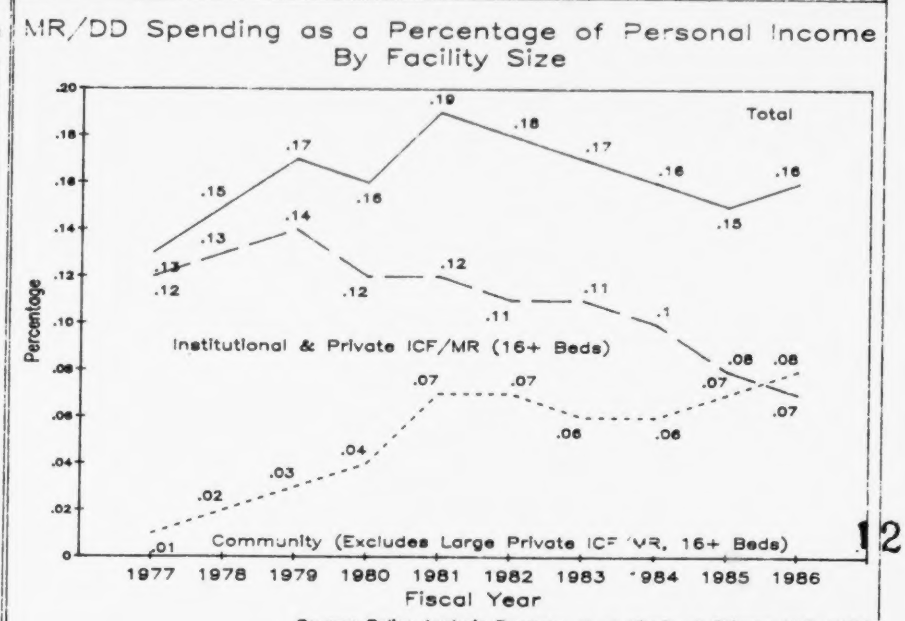
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

ARIZONA
DOES NOT HAVE
ICF/MR REIMBURSEMENTS


Personal Income in **ARIZONA**


Total MR/DD Spending in **ARIZONA**


MR/DD Spending as a Percentage of Personal Income


MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

ARIZONA 3/31/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	25,881,000	31,047,000	39,707,000	46,464,000	59,711,000	65,749,000	66,360,000	68,897,000	76,198,200	84,505,500
TOTAL INSTITUTIONAL/COMMUNITY	18,057,000	22,384,000	29,974,000	34,773,000	45,812,000	50,254,000	49,376,000	50,350,000	54,653,200	62,371,500
STATE FUNDS	17,593,000	21,762,000	27,786,000	33,088,000	42,469,000	47,584,000	46,701,000	47,673,000	51,928,600	59,646,900
General Funds	17,587,000	21,748,000	27,746,000	33,031,000	41,364,000	46,091,000	45,436,000	45,917,000	48,626,800	56,223,200
SSI State Supplement	6,000	14,000	40,000	57,000	63,000	77,000	144,000	194,000	206,000	289,000
Other State Funds	0	0	0	0	1,042,000	1,416,000	1,121,000	1,562,000	3,095,800	3,134,700
FEDERAL FUNDS	464,000	622,000	2,188,000	1,685,000	3,343,000	2,670,000	2,675,000	2,677,000	2,724,600	2,724,600
Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	0	0	1,589,000	1,685,000	3,343,000	2,670,000	2,675,000	2,677,000	2,724,600	2,724,600
Other Federal Funds	464,000	622,000	599,000	0	0	0	0	0	0	0
INSTITUTIONAL SERVICES FUNDS	16,312,000	20,123,000	24,690,000	25,806,000	29,870,000	31,357,000	30,889,000	30,413,000	27,909,300	29,362,900
STATE FUNDS	15,848,000	19,501,000	23,348,000	25,018,000	29,071,000	30,707,000	30,061,000	29,288,000	26,783,900	28,237,500
General Funds	15,848,000	19,501,000	23,348,000	25,018,000	29,071,000	30,619,000	29,756,000	28,973,000	26,322,000	27,662,000
Other State Funds	0	0	0	0	0	88,000	305,000	315,000	461,900	575,500
FEDERAL FUNDS	464,000	622,000	1,342,000	788,000	799,000	650,000	828,000	1,125,000	1,125,400	1,125,400
Federal ICF/MR	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	0	0	743,000	788,000	799,000	650,000	828,000	1,125,000	1,125,400	1,125,400
Other Federal Funds	464,000	622,000	599,000	0	0	0	0	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	9,569,000	10,924,000	15,017,000	20,658,000	29,841,000	34,392,000	35,471,000	38,484,000	48,288,900	55,142,600
COMMUNITY SERVICES FUNDS	1,745,000	2,261,000	5,284,000	8,967,000	15,942,000	18,897,000	18,487,000	19,937,000	26,743,900	33,008,600
STATE FUNDS	1,745,000	2,261,000	4,438,000	8,070,000	13,398,000	16,877,000	16,640,000	18,385,000	25,144,700	31,409,400
General Funds	1,739,000	2,247,000	4,398,000	8,013,000	12,293,000	15,472,000	15,680,000	16,944,000	22,304,800	28,561,200
SSI State Supplement	6,000	14,000	40,000	57,000	63,000	77,000	144,000	194,000	206,000	289,000
Other State Funds	0	0	0	0	1,042,000	1,328,000	816,000	1,247,000	2,633,900	2,559,200
FEDERAL FUNDS	0	0	846,000	897,000	2,544,000	2,020,000	1,847,000	1,552,000	1,599,200	1,599,200
ICF/MR Funds	0	0	0	0	0	0	0	0	0	0
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	0	0	846,000	897,000	2,544,000	2,020,000	1,847,000	1,552,000	1,599,200	1,599,200
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	7,824,000	8,663,000	9,733,000	11,691,000	13,899,000	15,495,000	16,984,000	18,547,000	21,545,000	22,134,000
Suppl. Security Income (SSI)	4,876,000	5,387,000	5,913,000	7,155,000	8,203,000	9,155,000	10,139,000	11,472,000	12,821,000	13,871,000
Childhood Disability (SSDI)	2,948,000	3,276,000	3,820,000	4,536,000	5,696,000	6,340,000	6,845,000	7,075,000	8,724,000	8,263,000
F.F.P. Rate	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Daily Institutional Population	959	772	693	631	636	572	540	483	446	446
Institutional Per Diem	46.60	71.41	97.61	111.74	128.67	150.19	156.72	172.04	171.44	180.37

ARKANSAS

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Developmental Disabilities Services is one of six divisions within the Department of Human Services. The other divisions are: Community Services, Finance (formerly Administrative Services), Mental Health Services, Rehabilitation Services, and Social Services.

Budget Format. The Arkansas budget documents provided the following basic format throughout the years of this analysis. The basic format was:

- Department of Human Services
  - Mental Health
  - Mental Health/Benton Services Act
  - Mental Health Federal Grant
  - Mental Retardation*
    - Mental Retardation-Developmental Disabilities--Cash
      - Maintenance and General Operation
    - Mental Retardation Account
      - General Revenues
      - Federal Reimbursement
      - Cash Fund
        - [Authorized Appropriation]
      - MR/DD Federal Grants

*Fund source detail as in Mental Retardation was also provided for Mental Health above.

Note on Data Sources. Arkansas Budget Documents for the FYs 1977-79, FYs 1979-81, and FYs 1983-85 Biennia were reviewed. These documents provided "actual" expenditure figures for FY 1978 and FY 1982; "budgeted" expenditure figures for FY 1977 and FY 1979; "legislative recommendation" figures for FY 1980 and FY 1981; an "allocation" for FY 1983; and "Executive Recommendation" figures for FYs 1984 and '85. However, except for the FY 1983-85 Biennium document, which detailed the Department of Human Services divisions and offices, the budget books provided line item detail, but did not offer an indication of fund source breakdown nor of the relationship between community and institutional services expenditures.

Personal communication (correspondence, 7/29/83; telephone, 9/7/83) with Harold Nethercutt, Deputy Commissioner, Administrative Services, Division of Developmental Disabilities provided Expenditures from General Operating Account for Human Development Centers plus Central Office Support and for Community Services (including Grants-in-Aid). Nethercutt noted that there were additional Federal funds of approximately $1,800,000/year consisting of Title I, USDA, Foster Grandparents, and Vocational Education.

Fiscal year 1985 (actual) and FY 1986 (projected) expenditure figures for the six human development centers and for community services were reported in 2/24/86 correspondence from Jerry Berry, Assistant Deputy Director for Administrative Services (redesignated the Division of Finance in a 7/1/86 DHS reorganization).

Average daily population figures were obtained from E. Sartain, Administrative Services, Division of Developmental Disabilities (p.c., correspondence, 6/13/84; and from C. O'Bannon, Management Project Analyst, Division of Finance (p.c., telephone, 7/7/86)--for FYs 1984-86.

II. INSTITUTIONAL SERVICES FUNDS

Institutional Services consisted of the expenditures for the six Human Development Centers.

Other Federal Funds for FYs 1977-79 consisted of: USDA--$300,000; Foster Grandparents--$300,000; Vocational Education--$200,000; and Title I--$1,000,000 (p.c., correpondence, R. Nelson, Commissioner, Division of DD Services, 1/24/84). Subsequently, aggregated totals only were reported.

III. COMMUNITY SERVICES FUNDS

Community services consisted of the expenditure figures reported in correspondence (7/29/83 and 2/24/86) and represented funding provided to community services by the Developmental Disabilities Services Division..

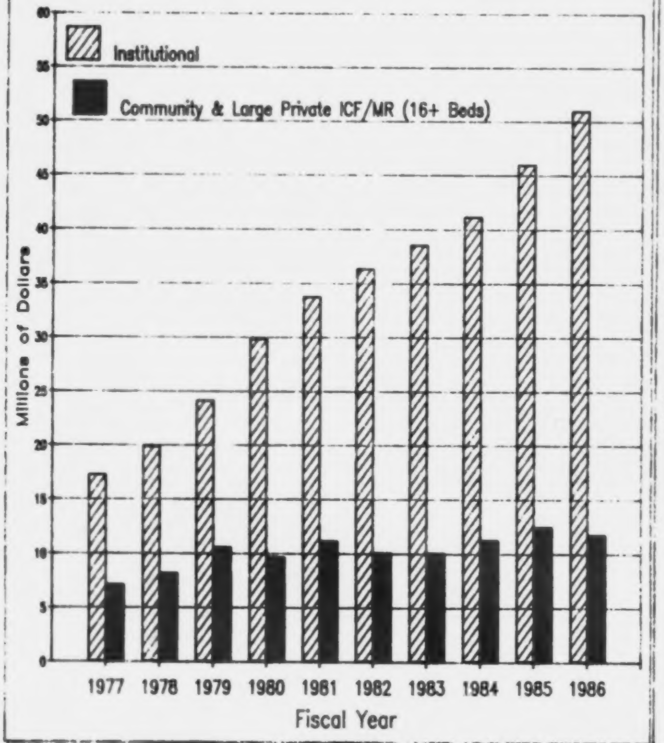
Other State Funds consisted of a 10% private contribution match to Federal Title XX (SSGB) funds.

Federal Title XX/SSBG figures were obtained in a telephone interview (9/7/83) with J. Lambert, Policy and Planning Section, Office of Title XX. Lambert provided total Federal/StateTitle XX figures and indicated that the 15% state match figures had already been included in the Division of Developmental Disabilities Services figures. Therefore, 75% of the Title XX figures reported by Lambert were included in this Federal Title XX/SSBG category. We then imputed the annual amounts of private contributions, and entered these figures in the category Other State Funds.

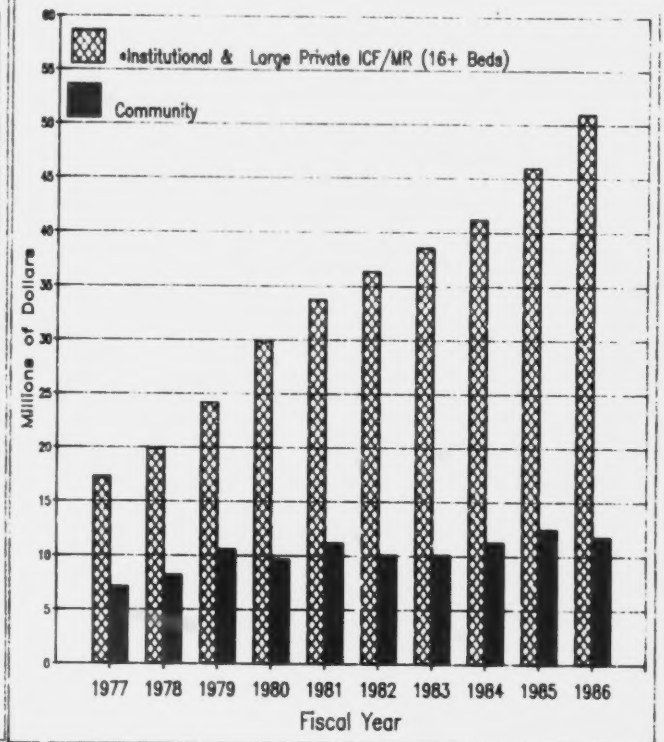
Other Federal Funds consisted of ESEA Title I funds for FYs 1980-86.

ARKANSAS

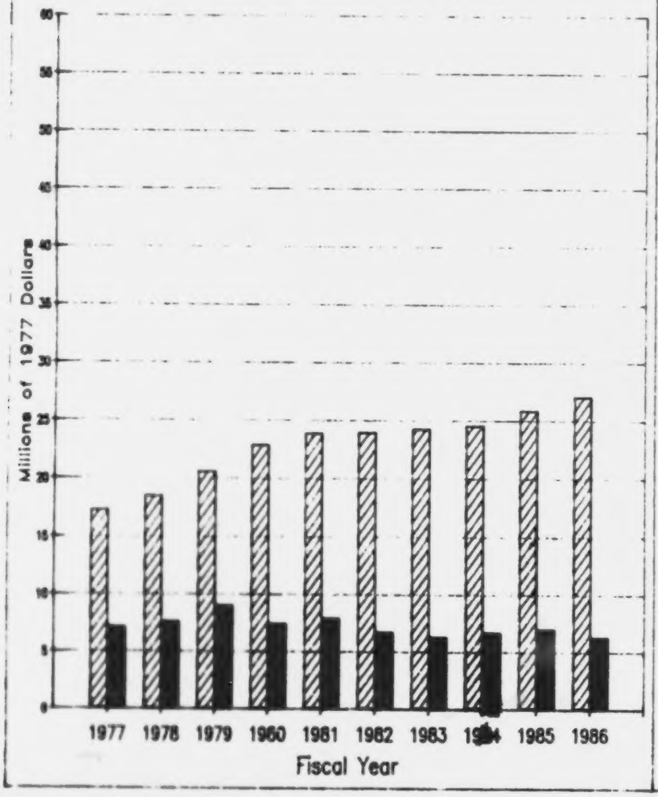
MR/DD Expenditures for *Institutional* & *Community* Services



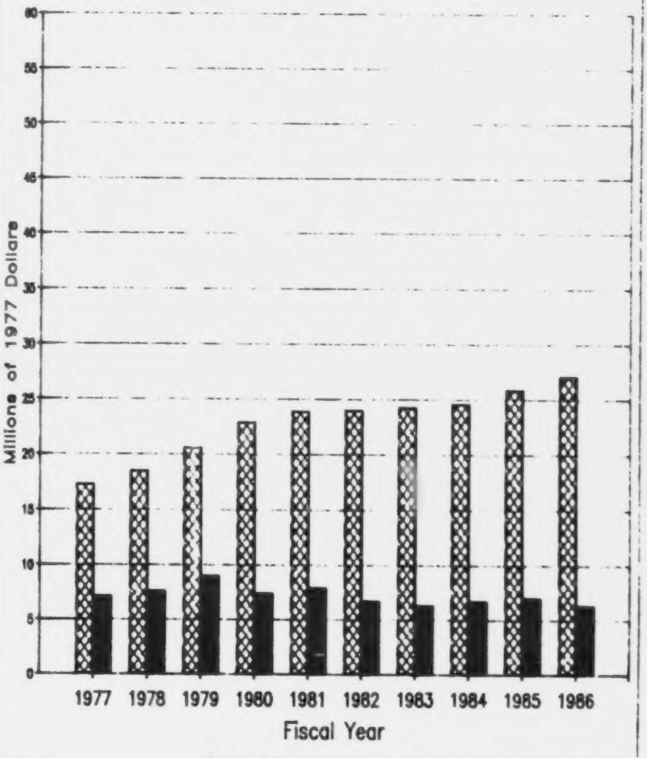
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



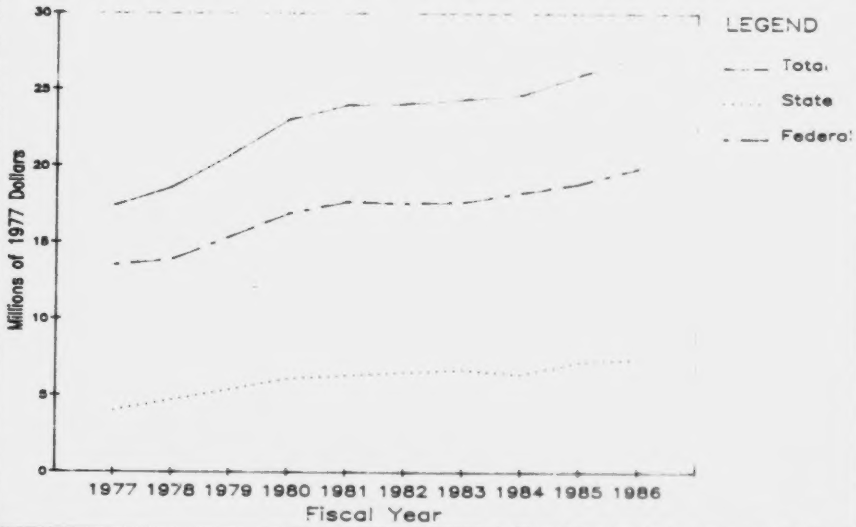
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

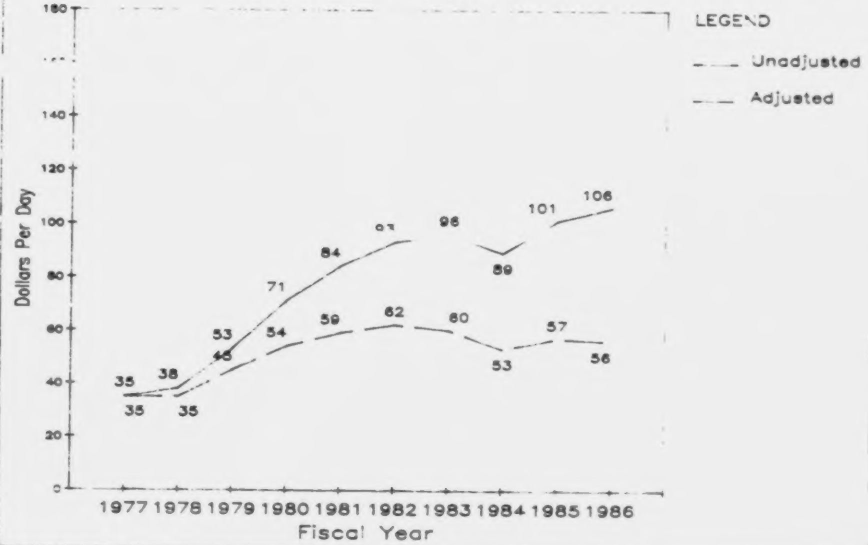
ARKANSAS

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977-86

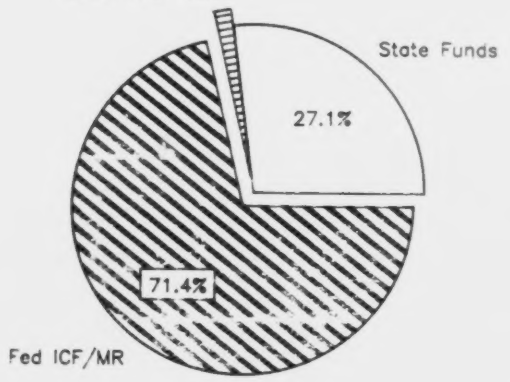


ARKANSAS

Institutional Per Diem Costs: FY 1977-86



Institutional Revenue Detail: FY 1986 (Unadjusted)



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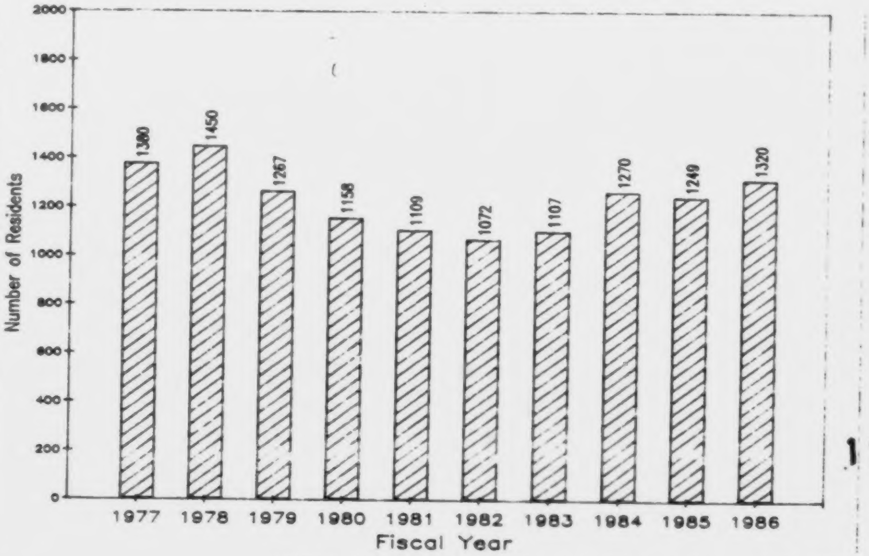
FY 1986 Total Funds: $51.1 Million

Average Daily Residents in Institutions



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

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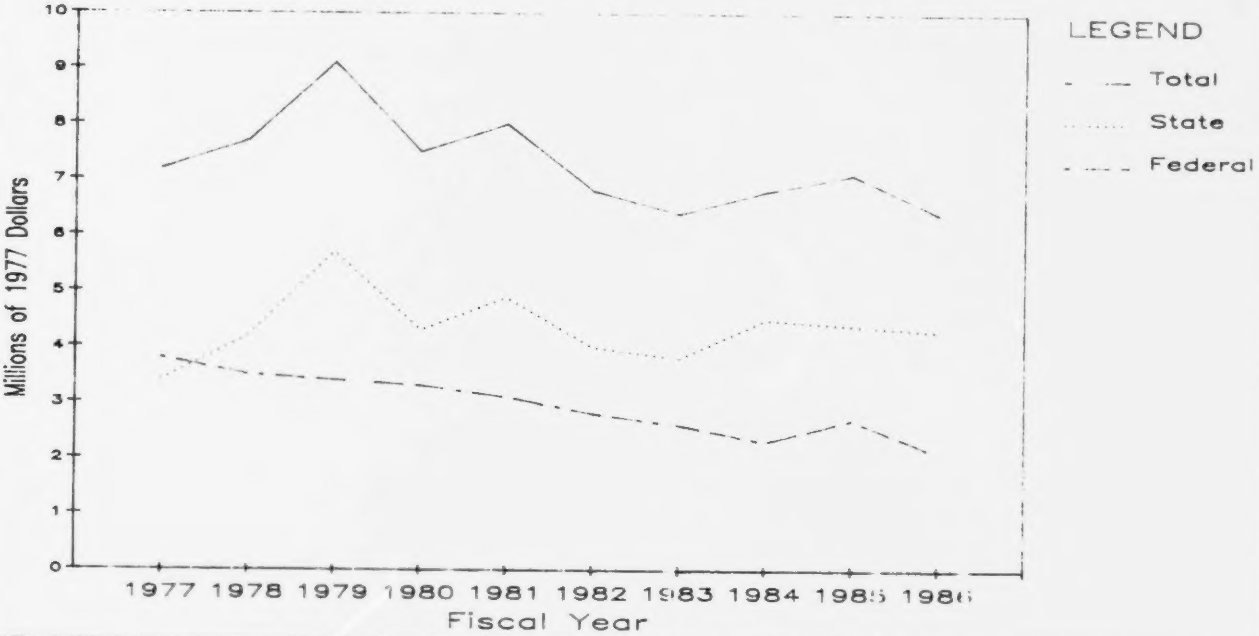
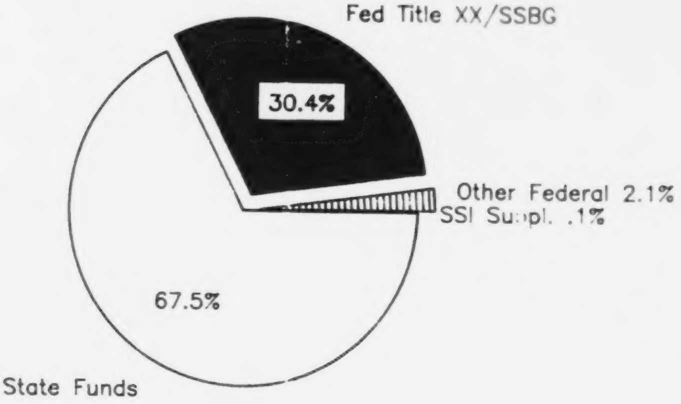
ARKANSAS

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

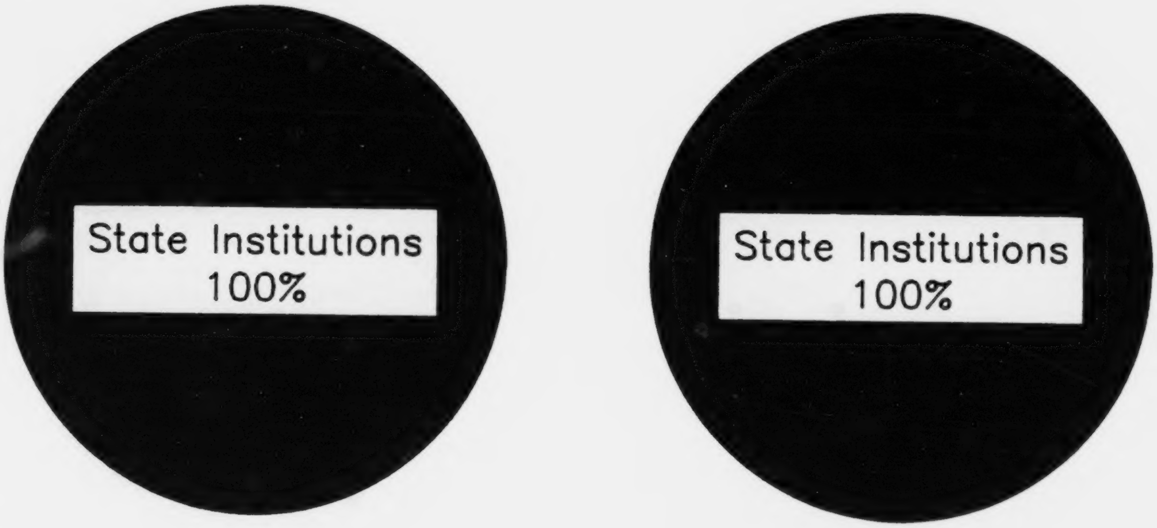


FY 1986 Total Funds: $11.9 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

ARKANSAS

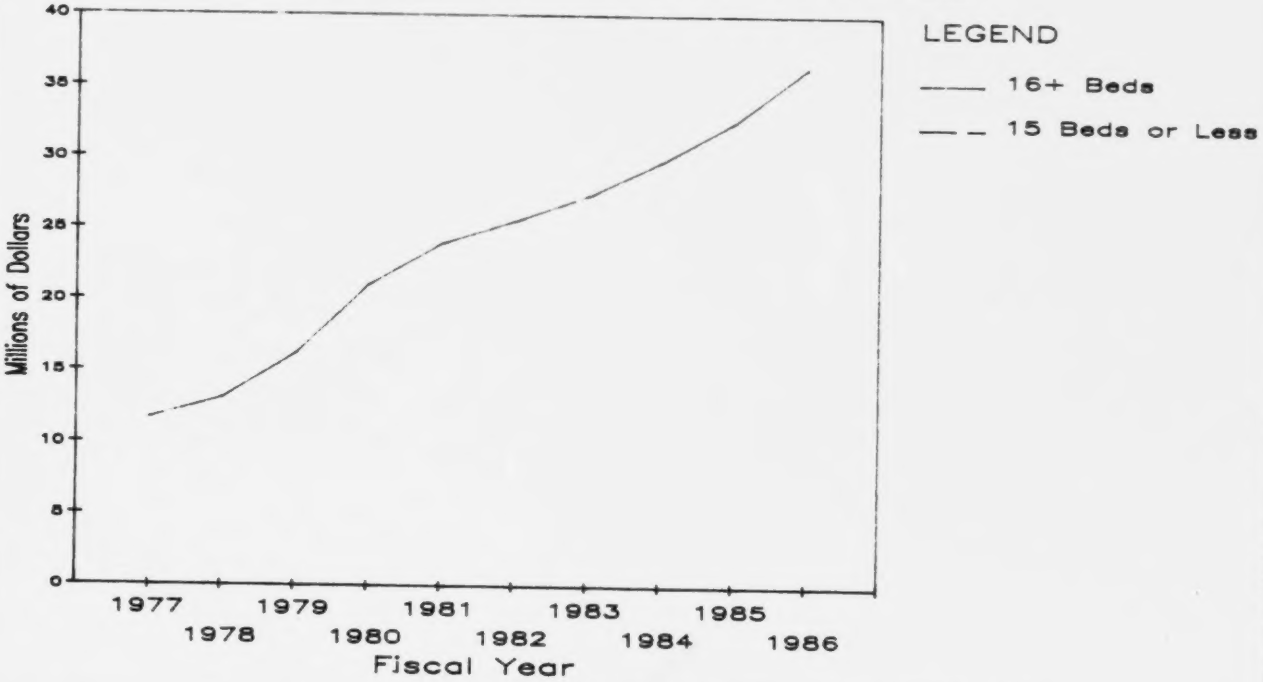
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $11.6 Million

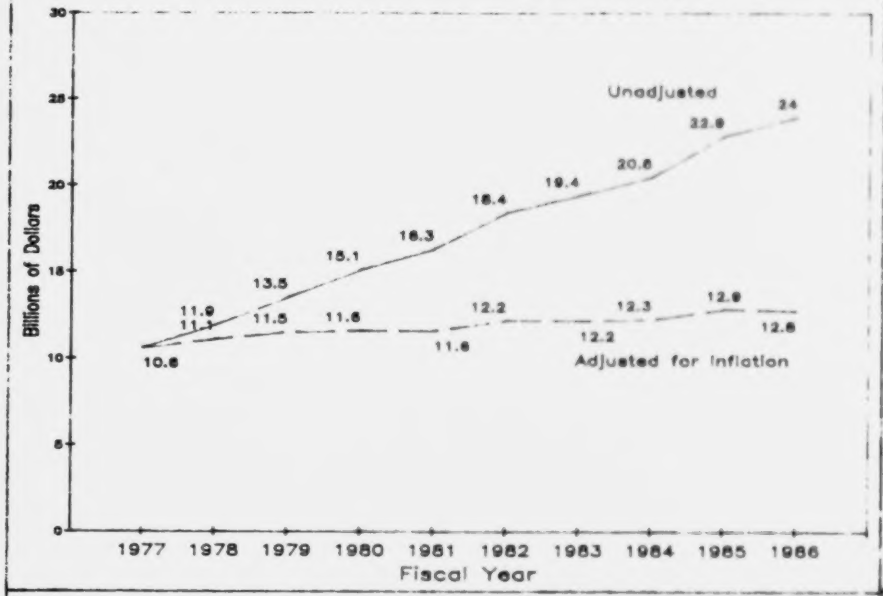
FY 1986 Total Federal Funds: $36.4 Million

By Facility Size, FY 1977–86

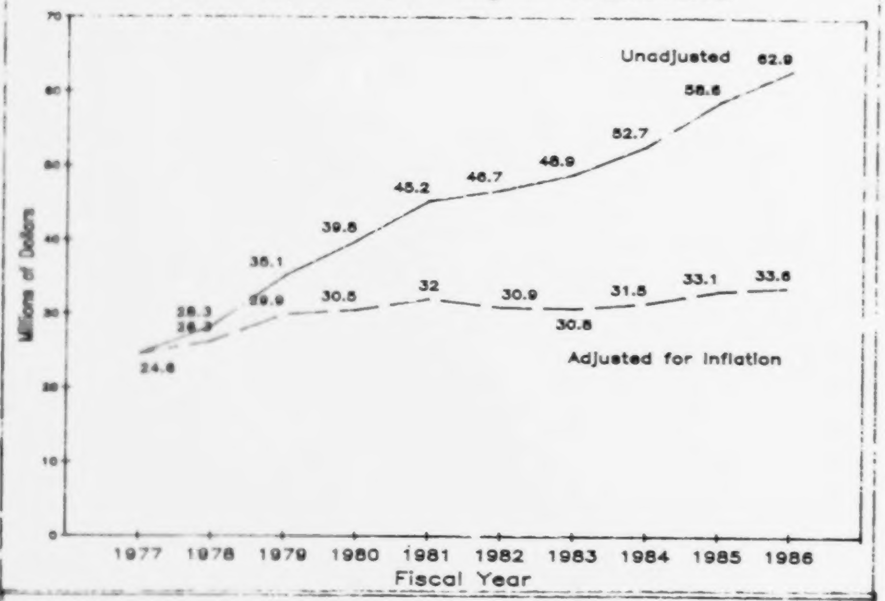


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

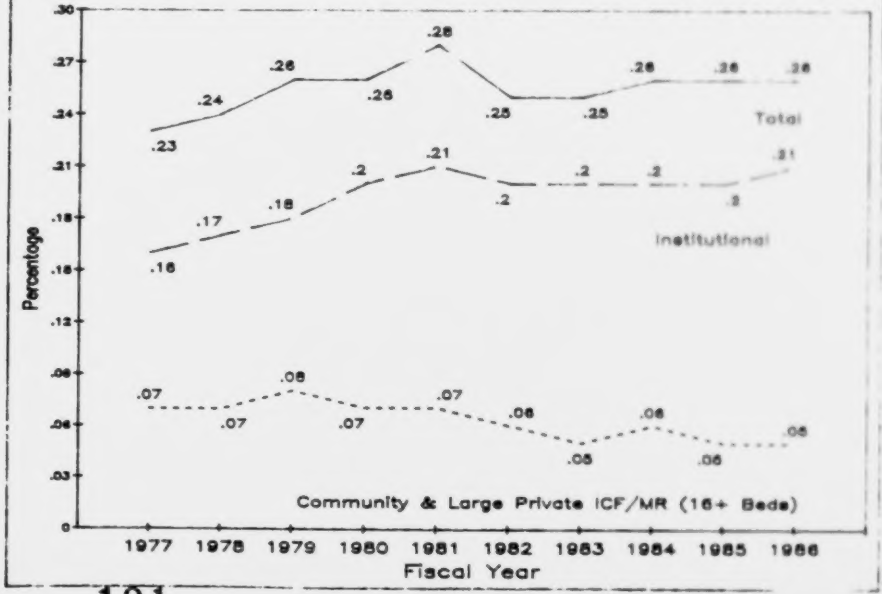
Personal Income in **ARKANSAS**



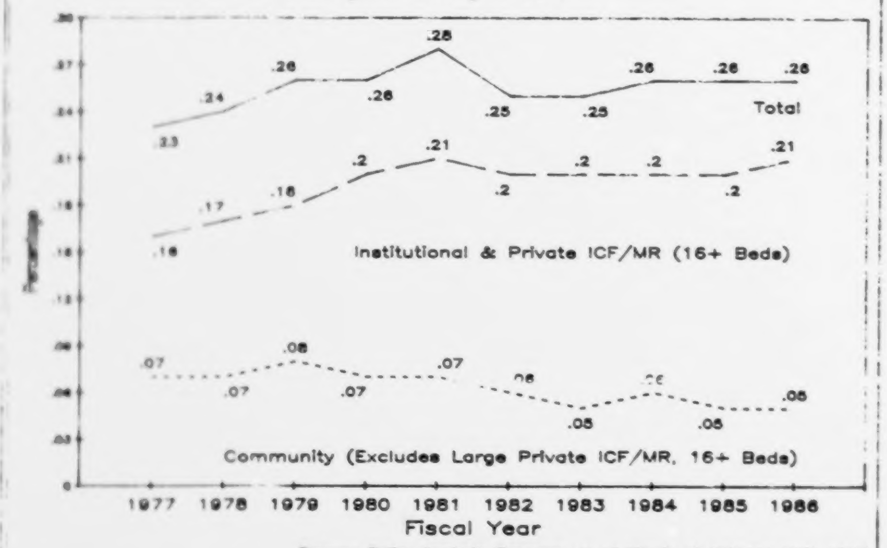
Total MR/DD Spending in **ARKANSAS**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

ARKANSAS 4/1/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	45,752,000	51,588,800	60,627,200	68,614,217	80,292,700	85,066,444	90,242,923	98,182,061	106,488,420	115,570,470
TOTAL INSTITUTIONAL/COMMUNITY	24,571,000	28,273,800	35,051,200	39,758,217	45,209,700	46,668,444	48,870,923	52,669,061	58,628,420	62,980,470
STATE FUNDS	7,370,000	9,571,800	12,976,200	13,438,700	15,869,700	15,888,200	16,572,700	18,137,700	20,524,990	21,870,520
General Funds	6,870,000	9,066,000	12,439,000	12,977,000	15,398,000	15,449,000	16,127,000	17,714,000	20,391,870	21,594,520
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	500,000	505,800	537,200	461,700	471,700	439,200	445,700	423,700	133,120	276,000
FEDERAL FUNDS	17,201,000	18,702,000	22,075,000	26,319,517	29,340,000	30,780,244	32,298,223	34,531,361	38,103,430	41,109,950
Title XIX Funds	11,651,000	13,108,000	16,246,000	21,124,000	24,002,000	25,582,000	27,383,000	29,811,000	32,575,030	36,449,940
Title XX / SSBG Funds	3,750,000	3,794,000	4,029,000	3,463,000	3,538,000	3,294,000	3,343,000	3,178,000	4,237,940	3,616,050
Other Federal Funds	1,800,000	1,800,000	1,800,000	1,732,517	1,800,000	1,904,244	1,572,223	1,542,361	1,290,460	1,043,960
INSTITUTIONAL SERVICES FUNDS	17,418,000	19,990,000	24,345,000	29,965,866	33,923,802	36,471,021	38,691,678	41,306,382	46,067,800	51,074,610
STATE FUNDS	3,967,000	5,082,000	6,299,000	7,897,000	8,936,000	9,870,000	10,565,000	10,666,000	12,668,070	13,825,840
General Funds	3,967,000	5,082,000	6,299,000	7,897,000	8,936,000	9,870,000	10,565,000	10,666,000	12,668,070	13,825,840
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	13,451,000	14,908,000	18,046,000	22,068,866	24,987,802	26,601,021	28,126,678	30,640,382	33,399,730	37,248,770
Federal ICF/MR	11,651,000	13,108,000	16,246,000	21,124,000	24,002,000	25,582,000	27,383,000	29,811,000	32,575,030	36,449,940
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	1,800,000	1,800,000	1,800,000	944,866	985,802	1,019,021	743,678	829,382	824,700	798,830
COMMUNITY WITH FEDERAL INCOME MAINT	28,334,000	31,598,800	36,282,200	38,648,351	46,368,898	48,595,423	51,551,245	56,875,679	60,420,620	64,495,860
COMMUNITY SERVICES FUNDS	7,153,000	8,283,800	10,706,200	9,792,351	11,285,898	10,197,423	10,179,245	11,362,679	12,560,620	11,905,860
STATE FUNDS	3,403,000	4,489,800	6,677,200	5,541,700	6,933,700	6,018,200	6,007,700	7,471,700	7,856,920	8,044,680
General Funds	2,903,000	3,984,000	6,140,000	5,080,000	6,462,000	5,579,000	5,562,000	7,048,000	7,723,800	7,768,680
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	500,000	505,800	537,200	461,700	471,700	439,200	445,700	423,700	133,120	276,000
FEDERAL FUNDS	3,750,000	3,794,000	4,029,000	4,250,651	4,352,198	4,179,223	4,171,545	3,890,979	4,703,700	3,861,180
ICF/MR Funds	0	0	0	0	0	0	0	0	0	0
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	3,750,000	3,794,000	4,029,000	3,463,000	3,538,000	3,294,000	3,343,000	3,178,000	4,237,940	3,616,050
Other Federal Funds	0	0	0	787,651	814,198	885,223	828,545	712,979	465,760	245,130
FEDERAL INCOME MAINTENANCE	21,181,000	23,315,000	25,576,000	28,856,000	35,083,000	38,398,000	41,372,000	45,513,000	47,860,000	52,590,000
Suppl. Security Income (SSI)	15,994,000	17,551,000	18,855,000	20,874,000	25,060,000	27,243,000	29,328,000	33,065,000	35,761,000	38,051,000
Childhood Disability (SSDI)	5,187,000	5,764,000	6,721,000	7,982,000	10,023,000	11,155,000	12,044,000	12,448,000	12,099,000	14,539,000
F.F.P. Rate	74.60%	72.70%	72.06%	72.67%	72.87%	72.34%	72.16%	73.28%	73.65%	73.65%
Daily Institutional Population	1,380	1,450	1,267	1,158	1,109	1,072	1,107	1,270	1,249	1,320
Institutional Per Diem	34.58	37.77	52.64	70.70	83.81	93.21	95.76	88.87	101.05	106.01

CALIFORNIA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services for mentally retarded and developmentally disabled citizens in California are provided by the Department of Developmental Services, a cabinet-level department formed in 1978.

Budget Format. The basic format appearing in the California Executive Budget documents for MR/DD programs was:

- Department of Developmental Services
    - General Fund
    - DD Program Development Fund
    - Federal Funds
    - Reimbursements
- Community Services Program
    - General Fund
    - Federal Funds
    - DD Program Development Fund
    - Reimbursements
- State Hospital Services Program
    - General Fund
    - Federal Funds
    - Reimbursements
- Planning and Evaluation
    - General Funds
- Legislative Mandate
    - General Fund

Note on Data Sources. Expenditure figures were determined from inspection of the State of California Governor's Budget documents for State Fiscal Years 1976/77 through 1986/87 and from a series of telephone interviews and correspondence with officials in the California Department of Developmental Services (Budget Section and Community Services Division); the California Department of Health Services (Benefits Section); the Department of Social Services (Welfare Programs Operations); and the State Council on Developmental Disabilities.

The FY 1977-84 figures were originally obtained from the Governor's Budget documents for California Budget Years 1979, 1980, 1982, 1983 and 1984. In correspondence with the DDS Budget Section Chief (p.c., K. S. Buono, 10/4/83), community and institutional services expenditures and revenue sources were obtained. These figures were further clarified for our analysis by Fran Coletti, Budget Section, (p.c., telephone, 10/13/83).

Expenditure figures were subsequently updated (p.c., correspondence, C. Hood, Deputy Director, Administration Division, DDS, 1/18/84; B. Fitzer, Chief, Budget Section, Department of Developmental Services, 2/14/86). As a result of this most recent correspondence, expenditure figures for FY 1983-85 were "actual" and the FY 1986 figures were appropriated.

Our figures for institutional and community services funding corresponded with the "Summary by Object" sections of the Governor's Budget documents, but did not include central administrative expenses. Approximately $2,000,000 per year in depreciation was included in the Medi-Cal (ICF/MR) reimbursement for physical plant expenses at state hospitals (p.c., telephone, M. Stayton, Budget Section, 11/4/83). Stayton also noted that the drop between FY 1977 and FY 1978 in Federal ICF/MR funds was due to de-certification of DD state hospital units. An infusion of state funds for environmental and staffing improvements followed and the effect of this is shown in the large increase in ICF/MR funding between FY 1980 and FY 1981.

The state hospital developmental disabilities residential population ("last Wednesday of fiscal year") was reported in the Governor's Budget documents. Our analysis averaged adjacent "last Wednesday" figures to obtain average daily population figures comparable with other states. Effective 7/1/82 (at the beginning of FY 1983) the number of state hospitals serving DD clients was reduced to eight with the phase-out of Patton State Hospital's DD population.

Mid-fiscal year population figures for FYs 1984-86 were provided by B. Fitzer (p.c., correspondence, 2/14/86). The Napa State Hospital was to be transferred from DDS to the Department of Mental Health in early FY 1987, with a decrease in the number of individuals with developmental disabilities served at that facility throughout the fiscal year.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of funding for the nine state hospitals serving developmentally disabled persons (eight hospitals in FY 1983-86, due to the phasing out of individuals with developmental disabilities from the Patton State Hospital).

State General Funds was reported in the Budget Section correspondence as "net state cost" after 'pay patient board" was deducted. Medicare, and Medi-cal Federal revenues had also been subtracted from the "total expenditures" at the state hospitals. "Pay patient board" was included in this analysis as Other State Funds except for the portion attributable to the Federal source, CHAMPUS, which was included with Other Federal Funds--see discussion below.

Federal ICF/MR consisted of the Federal Share of the Medi-cal Title XIX reimbursement to certified state hospitals. Medi-cal services were administered by the California Department of Health Services, both for state hospitals and for Private ICFs/MR--see discussion below.

Other Federal Funds consisted of Medicare (Title XVIII) Federal revenues. Also, as indicated above, the CHAMPUS portion of "pay patient board" was included in this category. Listed below are the amounts of Federal CHAMPUS funds ($ in thousands):

FY 1977 - $51.0
FY 1978 - 94.0
FY 1979 - 76.0
FY 1980 - 117.0
FY 1981 - 166.0
FY 1982 - $127.0
FY 1983 - 149.0
FY 1984 - 101.0
FY 1985 - 0
FY 1986 - 0

III. COMMUNITY SERVICES FUNDS

Community services consisted of the twenty-one Regional Centers' DD operations expenses, and the purchase of services from a large number of private service providers who offered out-of-home care, day programs, medical services, respite care, and other community services for persons with developmental disabilities. Growth in community services funding in FY 1985 and FY 1986 reflected a five-year plan for the development of new community options and alternatives for state hospital residents.

State General Funds were the figures reported by the Budget Section as "state general fund"; however, the following Special Notes apply:

a) In FY 1982, funding for the "work activity program" was transferred from the Department of Developmental Services to the Department of Rehabilitation. Since we and Department officials concluded that, at least for the first few years, the program would be conducted relatively intact, although with alternate funding, for purposes of continuity these state general funds were included in our figures through FY 1984:

FY 1982 -- $35,077,000
FY 1983 -- $39,584,000
FY 1984 -- $38,619,000

b) The DDS reported (as revenue in the twenty-one Regional Centers) the Federal and state share of the Supplemental Security Income/State Supplemental Payment (SSI/SSP). These funds, which were administered by the Department of Social Services, advanced from $12 million in FY 1977 to $88 million in FY 1984; the Federal/state shares were in a ratio of 60/40. Since our analysis includes, for each state with a supplement program, the state-wide SSI Supplement amounts available from SSA in Baltimore, and in order to avoid duplication of the portion of State Supplement amounts represented in the Regional Centers, we have deducted these Federal/state income maintenance figures. (The state portion, of course, is included within the total state-wide Supplement figures for each year).

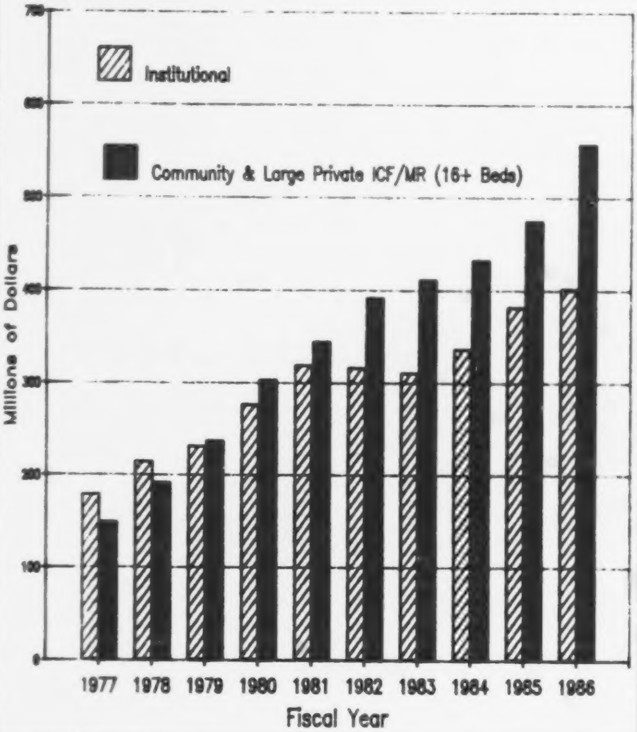
Private ICF/MR figures were obtained from the Benefits Section, Department of Health Services (p.c., telephone, C. White, 10/14/83). The "ICF/DD Large" program consisted of facilities ranging in size from 16 beds to approximately 45 beds, and the "ICF/DD-H" (H stands for "habilitative") program began in FY 1983 and consisted of ICFs/MR of 15 Beds or Less.

"ICF/DD H" and "ICF/DD Large" expenditure figures for FY 1984 were provided by V. Tapp, Benefits Section, Department of Health (p.c., telephone, 2/20/86). FY 1986 expenditure figures for the small and large ICFs/MR were estimated based on client and per diem figures provided by T. Schrick, Community Services Division, DDS (p.c., telephone, 2/19/86). There were 750 individuals served in 4-6 bed facilities, at a per diem of $67.22; 300 individuals served in 7-15 beds facilities, at a per diem of $58.71; and 3,300 individuals served in 37 larger facilities, at a per diem of approximately $54. Our analysis utilized these figures to estimate FY 1986 expenditures for small and large ICFs/MR, respectively, and FY 1985 figures were derived by interpolation of the FY 1984 and FY 1986 figures.

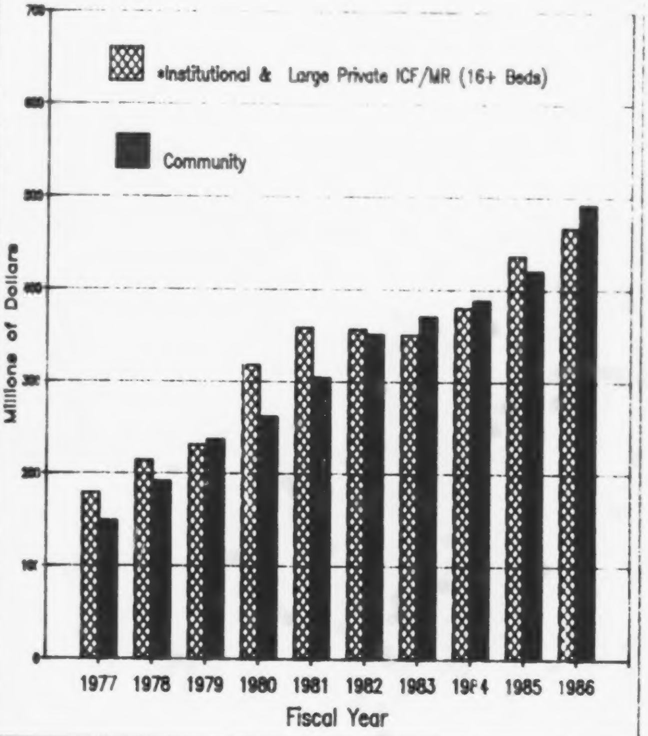
Waiver. The Title XIX Community Care Waiver reimbursements were projected based on billings for services in FY 1985 (p.c., telephone, P. Nelson, Budget Section, 2/19/86).

CALIFORNIA

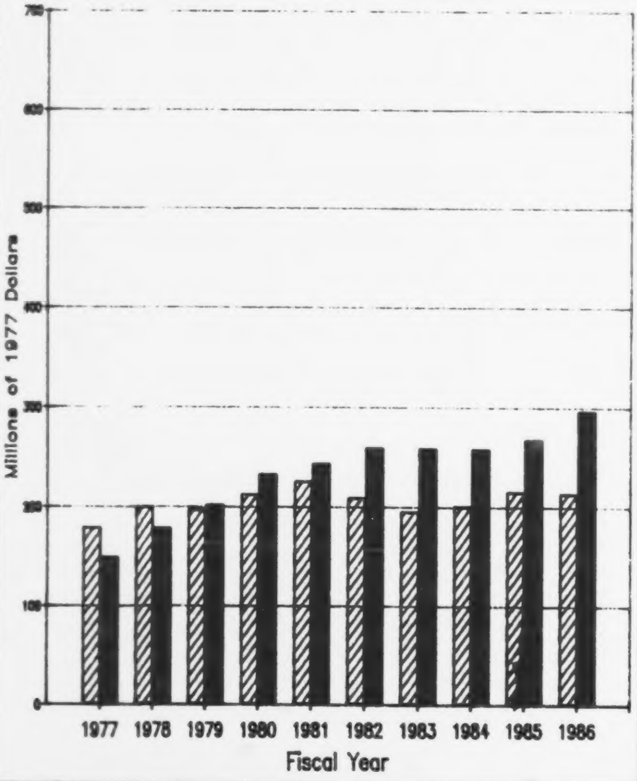
MR/DD Expenditures for *Institutional* & *Community* Services



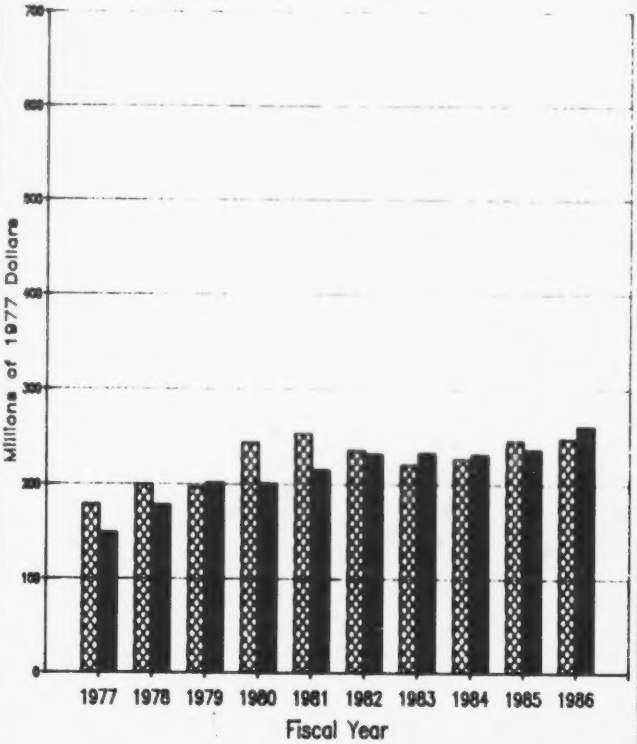
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



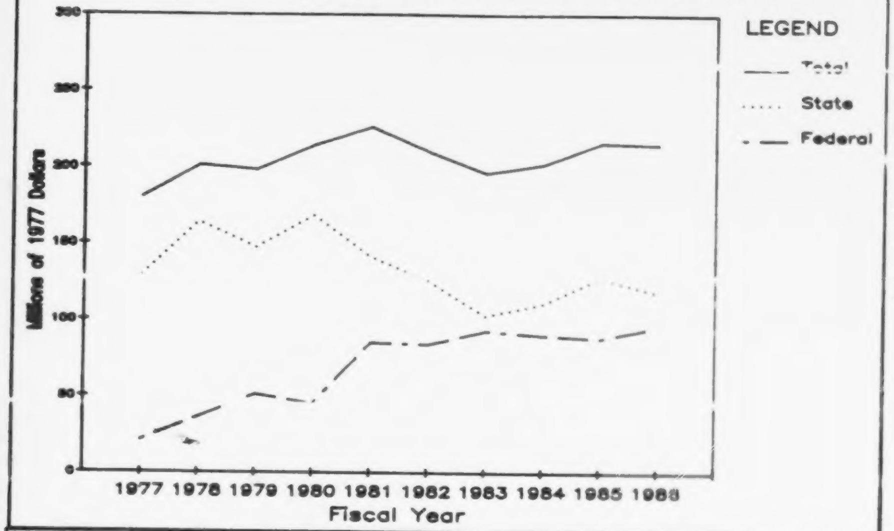
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

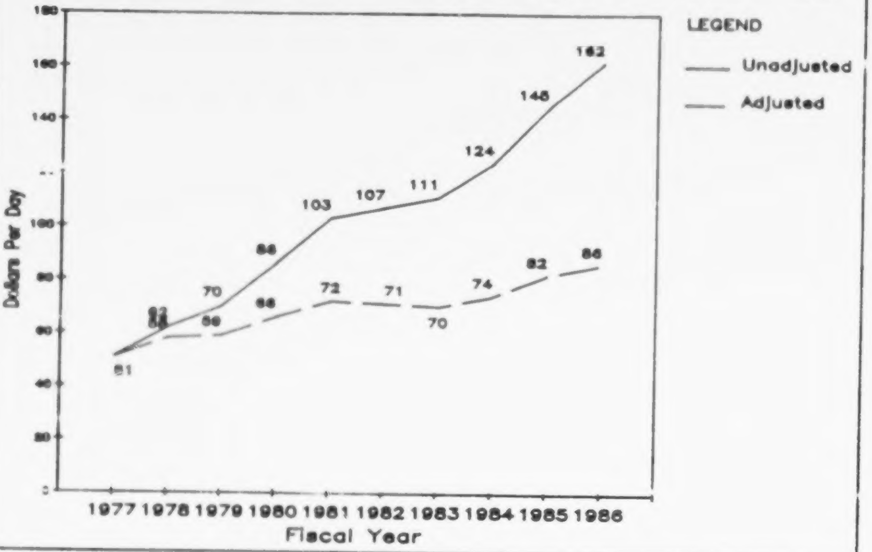
CALIFORNIA

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

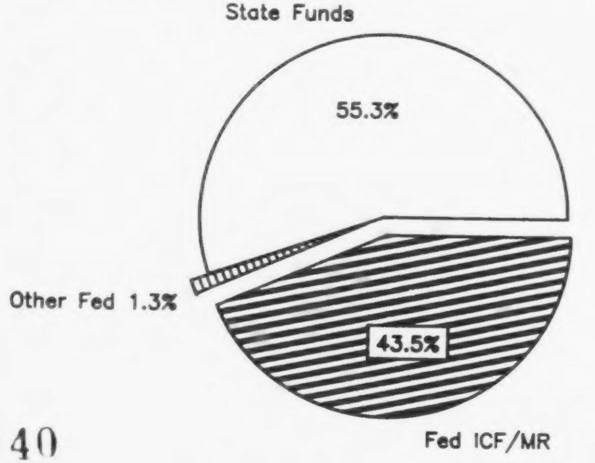


CALIFORNIA

Institutional Per Diem Costs: FY 1977–86

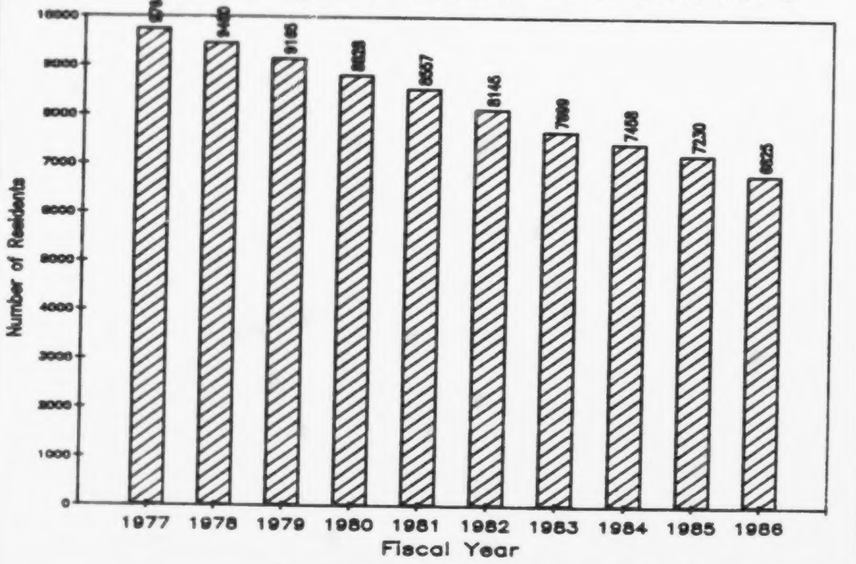


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $403.5 Million

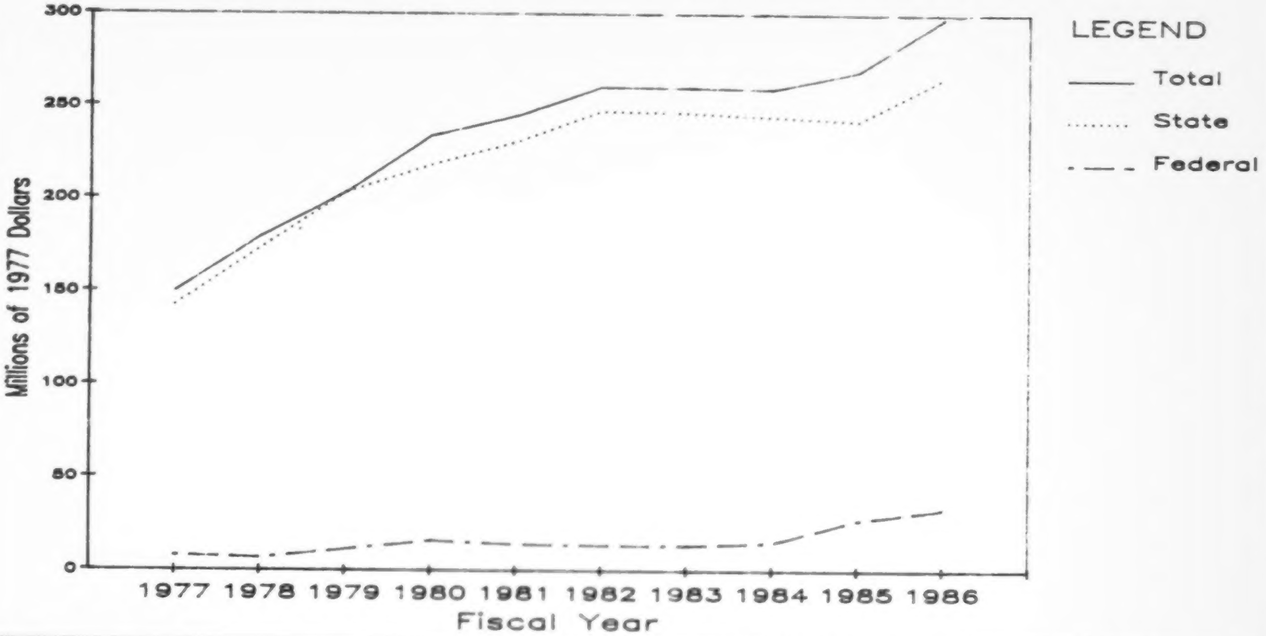
Average Daily Residents in Institutions



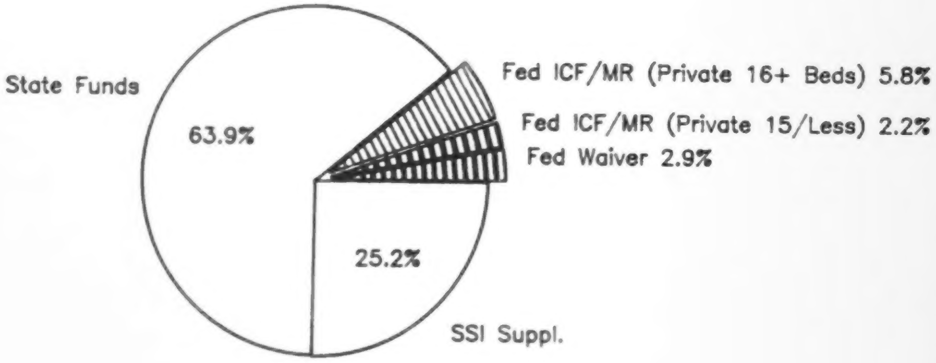
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

CALIFORNIA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

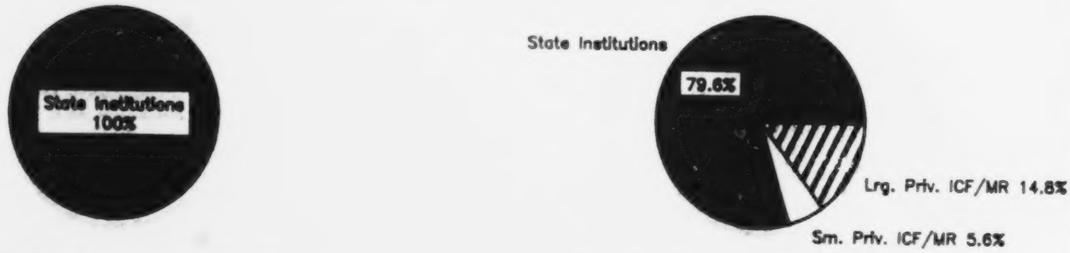


FY 1986 Total Funds: $558.6 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

CALIFORNIA

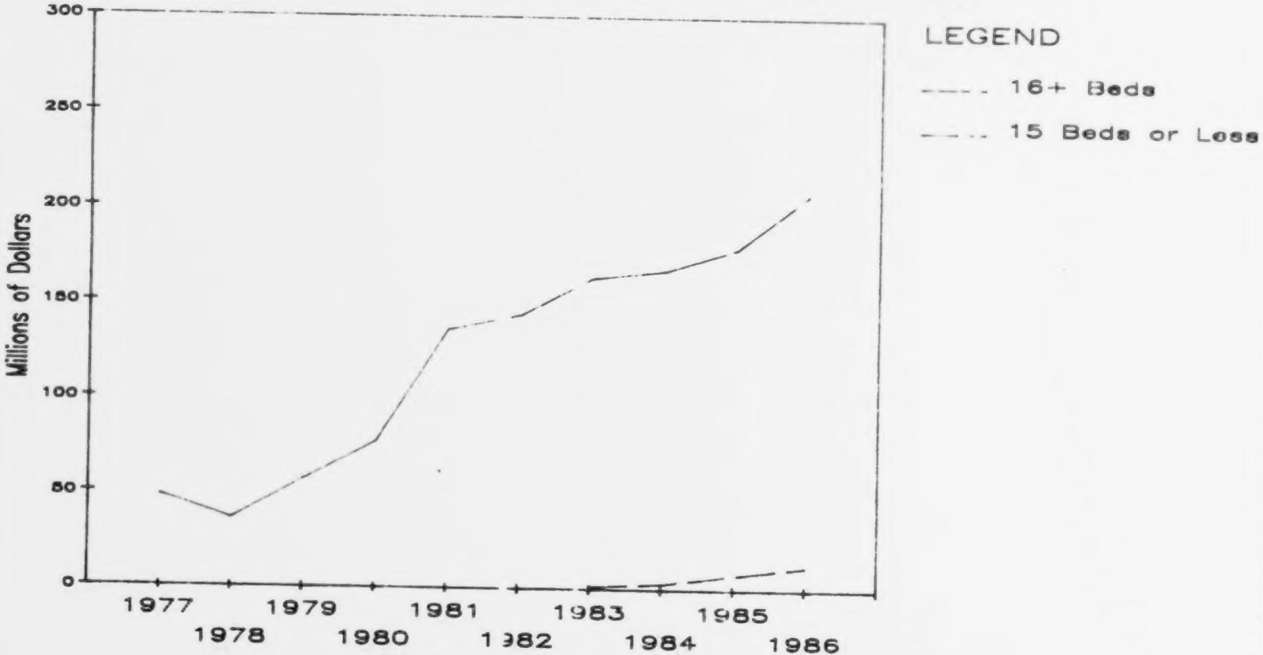
Federal ICF/MR Funding by Facility Setting: FY 1977 and 1986



FY 1977 Total Federal Funds: $48.2 Million

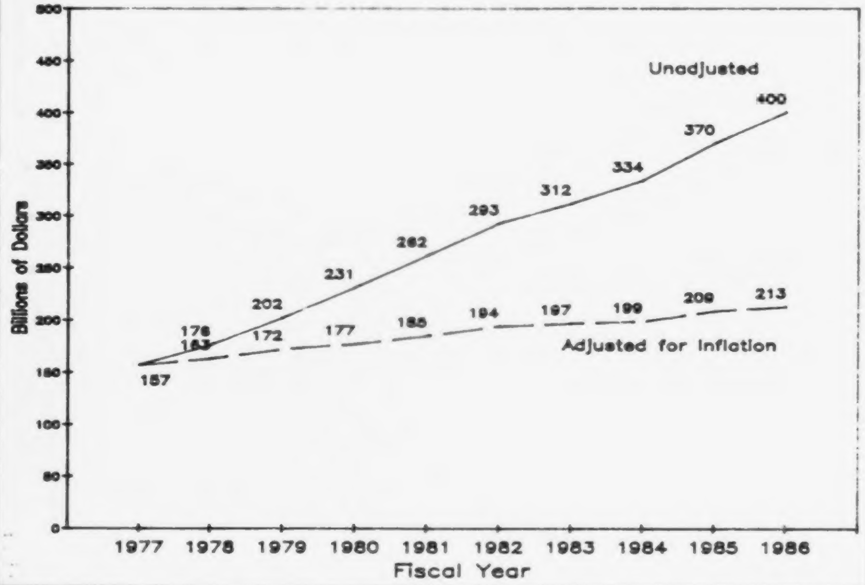
FY 1986 Total Federal Funds: $220.3 Million

By Facility Size, FY 1977–86

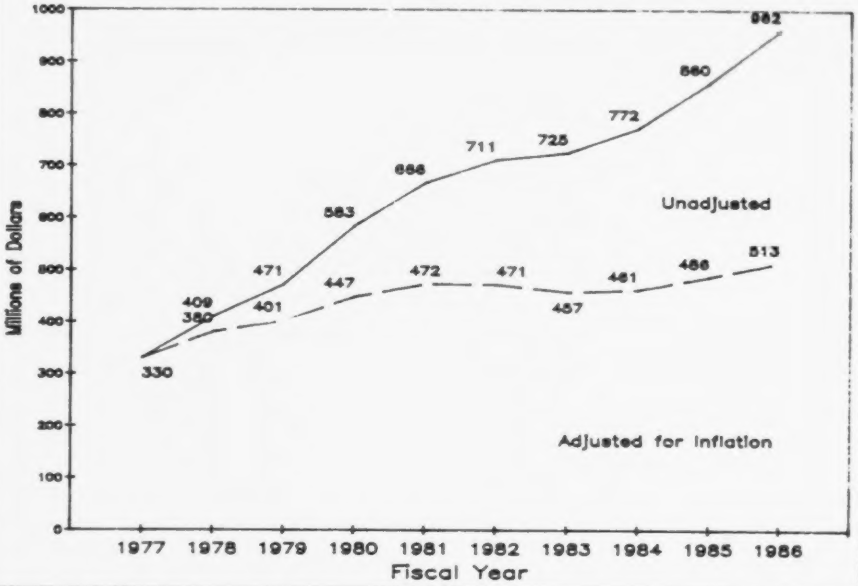


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

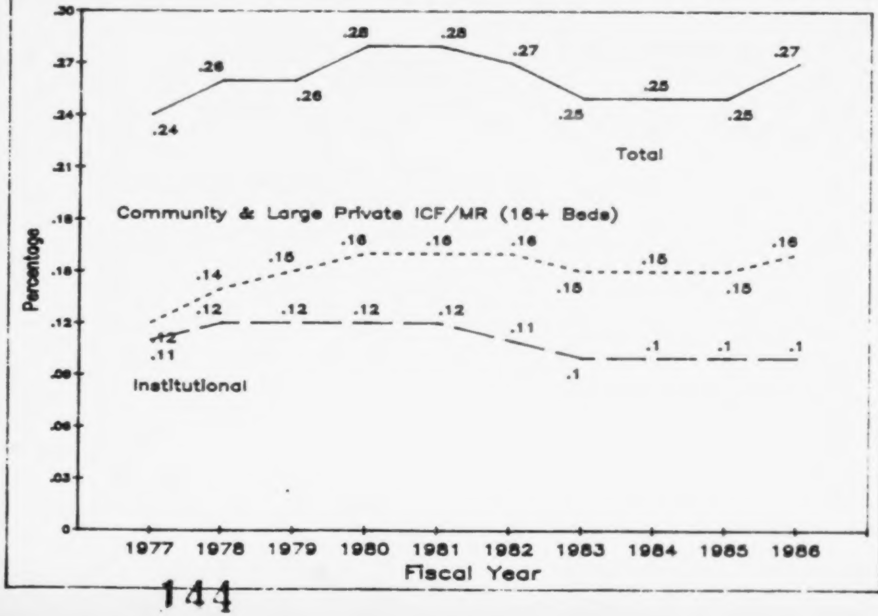
Personal Income in **CALIFORNIA**



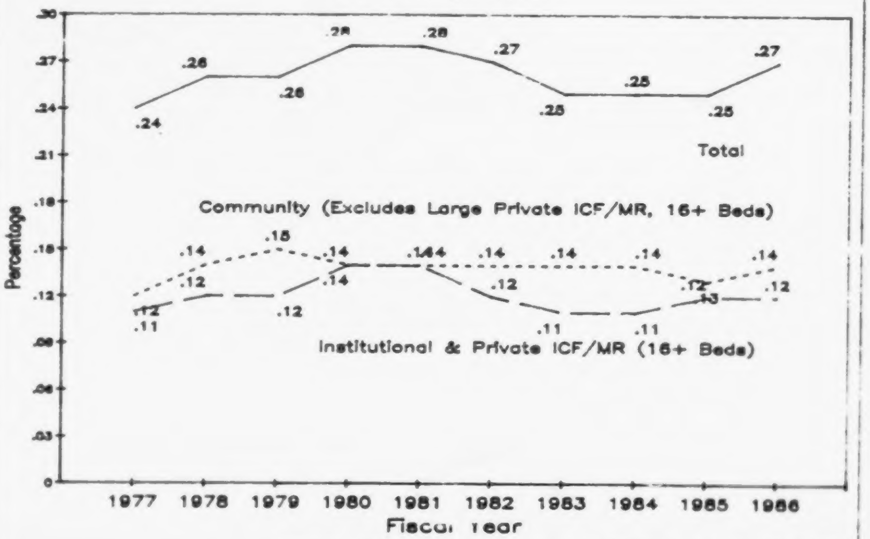
Total MR/DD Spending in **CALIFORNIA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

CALIFORNIA 5/12/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	425,626,000	512,119,000	583,258,000	710,301,000	819,142,000	881,252,000	908,186,000	972,128,000	1,127,653,400	1,243,228,200
TOTAL INSTITUTIONAL/COMMUNITY	330,301,000	408,851,000	471,036,000	582,668,000	666,075,000	711,255,000	724,803.000	772.122.000	859,784,400	962,074,200
STATE FUNDS	271,979,000	362,730,000	411,504,000	502,675,000	525,710,000	564,051,000	555,217,000	596,089,000	656,145,000	720,483,600
General Funds	191,267,000	273,748,000	291,543,000	377,263,000	393,838,000	431,674,000	426,859,000	463,195,000	513,374,000	564,766,600
SSI State Supplement	77,155,000	82,380,000	114,627,000	117,185,000	120,149,000	123,416,000	117,874,000	121,295,000	128,302,000	140,717,000
Other State Funds	3,557,000	6,602,000	5,334,000	8,227,000	11,723,000	8,961,000	10,484,000	11,599,000	14,469,000	15,000,000
FEDERAL FUNDS	58,322,000	46,121,000	59,532,000	79,993,000	140,365,000	147,204,000	169,586,000	176,033,000	203,639,400	241,590,600
Title XIX Funds	48,246,000	36,250,000	57,364,000	77,229,000	136,329,000	143,963,000	164,692,000	170,893,000	199,561,400	236,495,600
Title XX / SSBG Funds	7,673,000	7,013,000	0	0	0	0	0	0	0	0
Other Federal Funds	2,403,000	2,858,000	2,168,000	2,764,000	4,036,000	3,241,000	4,894,000	5,140,000	4,078,000	5,095,000
INSTITUTIONAL SERVICES FUNDS	180,112,000	215,822,000	232,678,000	278,109,000	320,504,000	317,811,000	312,108,000	338,092,000	383,505.000	403.487,000
STATE FUNDS	129,463,000	176,714,000	173,146,000	218,811,000	199,929,000	190,819,000	163,835,000	187,209,000	227,520,000	223,041,000
General Funds	125,906,000	170,112,000	167,812,000	210,584,000	188,206,000	181,858,000	153,351,000	175,610,000	213,051,000	208,041,000
Other State Funds	3,557,000	6,602,000	5,334,000	8,227,000	11,723,000	8,961,000	10,484,000	11,599,000	14,469,000	15,000,000
FEDERAL FUNDS	50,649,000	39,108,000	59,532,000	59,298,000	120,575,000	126,992,000	148,273,000	150,883,000	155,985,000	180,446,000
Federal ICF/MR	48,246,000	36,250,000	57,364,000	56,534,000	116,539,000	123,751,000	143,379,000	145,743,000	151,907,000	175,351,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	2,403,000	2,858,000	2,168,000	2,764,000	4,036,000	3,241,000	4,894,000	5,140,000	4,078,000	5,095,000
COMMUNITY WITH FEDERAL INCOME MAINT	245,514,000	296,297,000	350,580,000	432,192,000	498,638,000	563,441,000	596,078,000	634,036,000	744,148.400	839,741.200
COMMUNITY SERVICES FUNDS	150,189,000	193,029,000	238,358,000	304,559,000	345,571,000	393,444,000	412,695,000	434,030,000	476,279,400	558,587,200
STATE FUNDS	142,516,000	186,016,000	238,358,000	283,864,000	325,781,000	373,232,000	391,382,000	408,880,000	428,625,000	497,442,600
General Funds	65,361,000	103,636,000	123,731,000	166,679,000	205,632,000	249,816,000	273,508,000	287,585,000	300,323,000	356,725,600
SSI State Supplement	77,155,000	82,380,000	114,627,000	117,185,000	120,149,000	123,416,000	117,874,000	121,295,000	128,302,000	140,717,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	7,673,000	7,013,000	0	20,695,000	19,790,000	20,212,000	21,313,000	25,150,000	47,654,400	61,144,600
ICF/MR Funds	0	0	0	20,695,000	19,790,000	20,212,000	21,313,000	25,150,000	35,043,400	44,936,600
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	1,175,000	3,200,000	7,807,600	12,415,100
Large Private	0	0	0	20,695,000	19,790,000	20,212,000	20,138,000	21,950,000	27,235,800	32,521,500
Other Title XIX Funds	0	0	0	0	0	0	0	0	12,611,000	16,208,000
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	12,611,000	16,208,000
Title XX / SSBG Funds	7,673,000	7,013,000	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	95,325,000	103,268,000	112,222,000	127,633,000	153,067,000	169,997,000	183,383,000	200,006,000	267,869,000	281,154,000
Suppl. Security Income (SSI)	66,933,000	71,716,000	75,431,000	83,942,000	98,200,000	108,935,000	117,453,000	131,864,000	191,064,000	201,569,000
Childhood Disability (SSDI)	28,392,000	31,552,000	36,791,000	43,691,000	54,867,000	61,062,000	65,930,000	68,142,000	76,805,000	79,585,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
Daily Institutional Population	9,764	9,480	9,165	8,828	8,557	8,145	7,699	7,458	7,230	6,825
Institutional Per Diem	50.54	62.37	69.56	86.07	102.62	106.90	111.07	123.86	145.32	161.97

COLORADO

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. MR/DD services in Colorado are administered by the Division for Developmental Disabilities (established in 1961 as the Division of Mental Retardation and changed in 1974 to its present name). It is in the Department of Institutions.

Budget Format: After FY 1978, the Executive Budget provided only the following expenditure detail:

Department of Institutions
- Executive Director
- Mental Health
- Youth Services
- Developmental Disabilities
- TOTAL
    - General Fund
    - Cash Funds
    - Federal Funds

Note on Data Sources: Budget documents provided insufficient MR/DD expenditure detail. The Division for DD (Mary Ann Holtzinger, Budget Officer, Division for DD, correspondence, 6/29/83; Bill Wills, Division Controller, Division for DD, correspondence, 1/22/86) was contacted and sent the annual Legislative Budget Request documents. These contained not only background information, and narrative justifications for the next year's proposed activities and budget request, but also the actual expenditures for prior years. The Budget Request documents for FYs 1978-79, '79-80, '80-81, '81-82, '82-83, '85-86, and '86-87 were inspected and actual expenditures for FYs 1977-85 were obtained from these documents. FY 1986 expenditure estimates were obtained from Linda Carman, Budget Officer, Division for DD (p.c., correspondence, 4/22/86; telephone, 9/4/86).

The Legislative Budget Request document contained a number of budgetary forms called "Schedules." There was a separate form for each of the programs in the Division. The FY 1985-86 and FY 1986-87 budget requests provided further breakdowns of the community services component:

- Division Administration
- Community and Residential Programs (FY 1978-83)
    - Community Day Programs (FY 1985-86 and FY 1986-87 only)
    - Community Residential Programs (FY 1985-86 and FY 1986-87 only)
    - Medicaid Waiver Program (FY 1985-86 only)
- Institutional Programs/Grand Junction Regional Center
    - Pueblo Regional Center
    - Ridge Regional Center

The Budget Summary, Schedule 2 form provided the following funding source breakdowns. In the FY 1985-86 and FY 1986-87 budget requests an additional category called "Medicaid Cash Funds" was included:

General Fund
Cash Funds
Medicaid Cash Funds (FY 1985-86 and FY 1986-87 only)
Federal Funds

The Cash and Federal Funds Report, Schedule 4 (later changed to the Source of Financing--Direct Revenues, Schedule 4 form) provided further funding detail for the "Cash Funds" and "Federal Funds" categories, i.e., whether the source was Title XIX, Title XX, local match funds, or private donations, etc.

The "Cash Funds" category included Medicaid (federal and state share), user fees, private donations and smaller state and federal programs such as Federal ESEA program, school lunch, and the state contribution for education.

The "Federal Funds" category represented small federal grants that flowed directly to the Department of Institutions, such as funds for special projects. Using the Schedule 2 and Schedule 4 forms, federal funds were extracted from the "Cash Fund" and "Federal Funds" lines and classified in the analysis as Federal Title XIX, Federal Title XX, or Other Federal Funds as appropriate. Private donations and small state funded programs were classified as Other State Funds. The state share of Title XIX was added to the General Fund line.

II. INSTITUTIONAL SERVICES FUNDS

There were three state institutions ("Regional Centers") in Colorado, located at Grand Junction, Pueblo, and Wheat Ridge. The aggregated population at these facilities has decreased and the Division reached full ICF/MR compliance in FY 1983. The division stated an intent to reduce the regional center census by an additional 150 persons during FY 1987 (Source: Budget documents).

State General Funds. In addition to state monies explicitly appropriated as General Funds, the state share of Title XIX, which appeared in source documents as "Cash Funds," was included in this analytical category. Cash reversions (FYs 1982-86) and transfers (FYs 1982-83) were deducted from the General Fund line.

The large drop in General Funds between FY 1977 and FY 1978 was due to the influx of federal ICF/MR funds, which supplanted the state funds. However, the FY 1986 General Fund appropriation was higher than in any year since Medicaid funding came to dominate regional center financing. The increase was due to: (1) additional staffing required for achieving federal compliance, (2) reductions in federal revenues due to the reduced center census, and (3) Medicaid rate setting methods lagging behind these program changes.

Other State Funds included state funds for education, library, staff development, deaf/blind, and follow-along programs, and private donations.

Federal ICF/MR. As noted above, the federal share ICF/MR was identified as "Cash Funds," where it appeared as a gross amount (federal and state share combined). State/federal share matching rates were obtained from the Division for DD Budget Office (p.c., telephone, 8/15/83), and used to determine the federal and state shares.

In FY 1981 the institutions earned less federal ICF/MR reimbursement than was appropriated, so the gross ICF/MR amount was adjusted by deducting $1,200,937, (p.c., telephone, M. Holtzinger, 8/23/83).

Other Federal Funds included funds from several small federal programs identifiable under "Cash Funds" as well as the small amounts specifically reported under "Federal Funds" in the budget documents, e.g. ESEA, Title I, and School Lunch.

III. COMMUNITY SERVICES FUNDS

Community-based residential and day services were purchased by the state through a statewide network of Community Centered Boards (CCBs) and other private providers. There were two major budget entities for community services in recent budgets: Community Day Programs and Community Residential Programs. Community Day Program services provided both habilitative and vocational services for all persons served through community-based programs. Included under Community Residential programs in the budget documents were:

Follow-along Supervision (for indpendent living)
Host Homes (serving no more than 2 persons)
Adult Residential Services (ARS) Group Homes and Apartments
Moderate Supervision Group Homes
Specialized Group Homes
Large Class II ICF/MRs (large congregate care)

State General Funds were composed of the "General Fund" line for Community Services, encompassing both Community Day Programs and Community Residential Programs in the FY 1985-86 and FY 1986-87 budget requests, the state Title XIX waiver match (FYs 1984-86 only), and the state match for the ICF/MR funding of the Large Class II facilities.

Private ICF/MR Funds. Expenditure figures for private ICFs/MR were not available from the Department of Social Services for the FY 1977-82 period because fiscal data for all ICFs (except for the three state institutions) were classified together. Starting in FY 1983 all community-based private ICFs/MR were transferred from the budget of the Department of Social Services to the DD Division's budget. FYs 1977-82 expenditures were estimates based on FY 1983 actual figures. In FY 1983, private ICFs/MR comprised 20% of all ICFs ("Class I and II" nursing homes). M. Holtzinger (p.c., telephone, 8/15/83) indicated that the population of clients served in these homes had been fairly static over the years (about 20%). Total ICF figures were provided by Bryan Golden (p.c., telephone, 8/23/83).

FYs 1984-86 private ICF/MR funds are represented by the Class II home expenditures categorized here as the Private ICF/MR Large. Funding for the smaller facilities (15-beds or less) was transferred to the waiver program in this period and were thus categorized under Waiver Funds (see note below).

Neither the Department of DD nor the Department of Social Services could classify FYs 1977-83 ICF/MR funding into "Small" and "Large" categories. However, according to Ima Bollack, Department of Institutions (p.c., telephone, 9/4/86), the large Class II ICF/MR population was relatively static over this period. Therefore, expenditures for the large private ICF/MR category were extrapolated by deflating the FY 1984 large Class II ICF/MR expenditures across the FY 1977-83 period. These figures were deducted from the total ICF/MR funding figures provided by Golden (see note above) to estimate funding for small private facilities.

Waiver funding was intitiated in FY 1984. With the exception of the Class II ICFs/MR, all Title XIX funds for Community Day and Residential programs were waiver monies (p.c., telephone, Linda Carman, 4/29/86). Nearly all of the residential programs funded through the waiver were in "small" facilities; only 36 beds in Moderate Supervision Group Homes were in facilities larger than 15 beds.

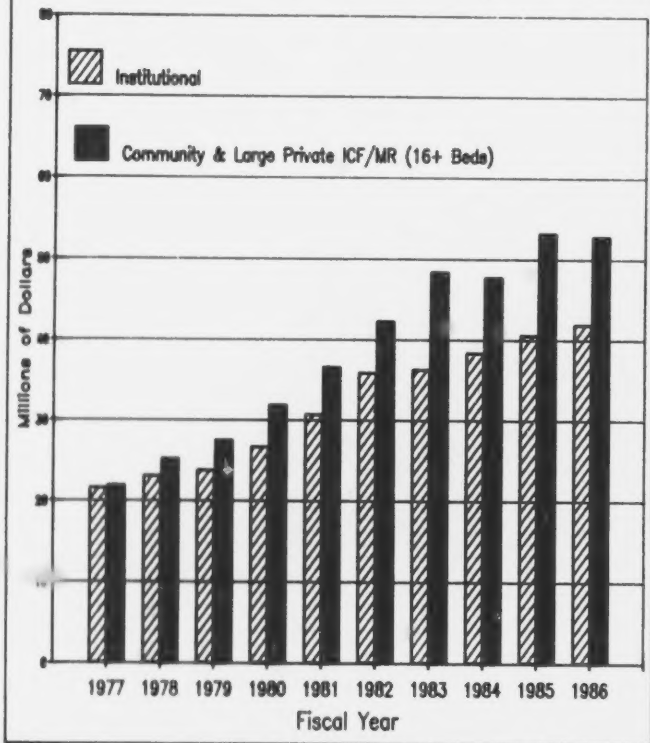
Federal Title XX/SSBG was used in community programs only through FY 1981. The state matching funds were included in the General Fund line.

Other Federal Funds from FY 1977-80 are primarily ESEA Title I funds. After FY 1980 the Department of Education allocated these funds directly to the Community Centered Boards. Our analysis has excluded state or local education agency expenditures.

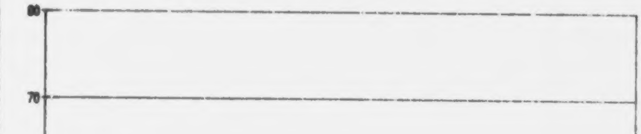
Local Funds. Colorado requires at least a 5% local match of state funds for community programs. These funds, which ranged from $3-8 million between FYs 1977-86, were reported and/or footnoted in the state appropriation. However, like local/state education expenditures, local funds were excluded from our analysis of Colorado data. Included in these local funds was the 5% matching money, local school district funds, and client (mostly SSI) income.

COLORADO

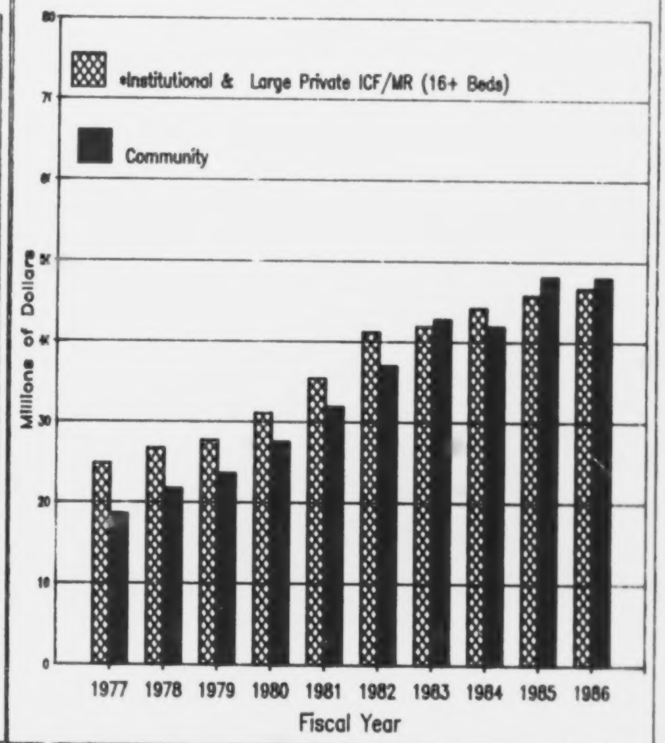
MR/DD Expenditures for *Institutional* & *Community* Services



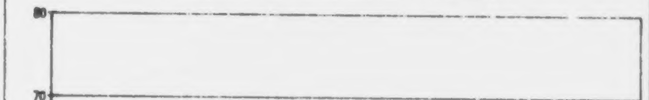
Adjusted for Inflation



MR/DD Expenditures for Large Congregate* & Community Services



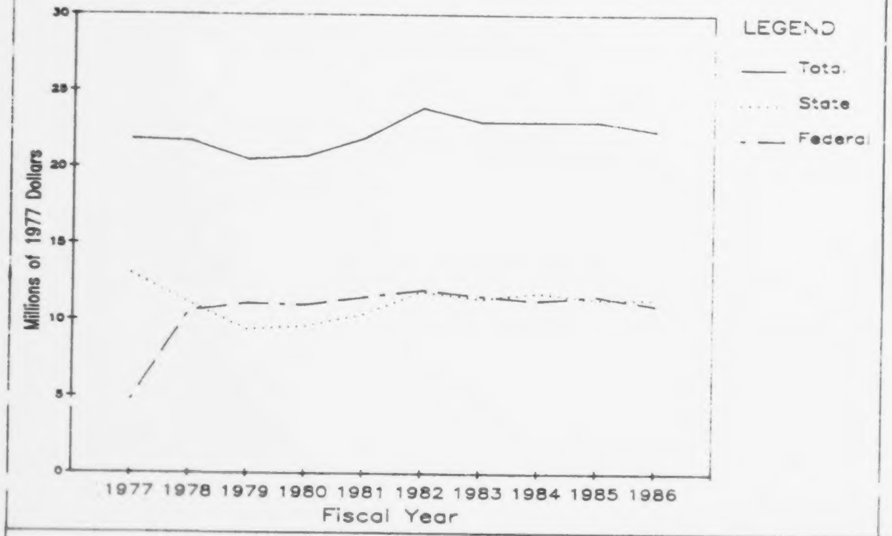
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

COLORADO

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86



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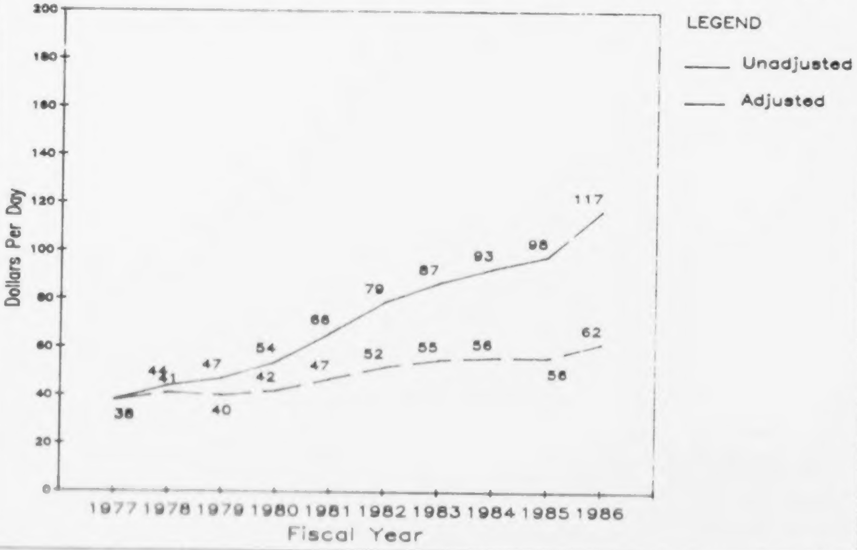
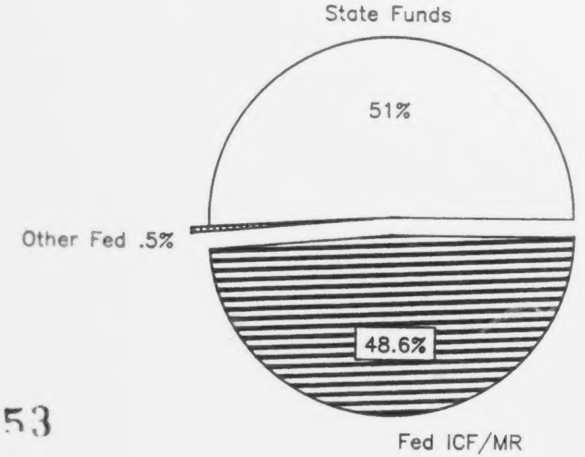
Institutional Per Diem Costs: FY 1977–86

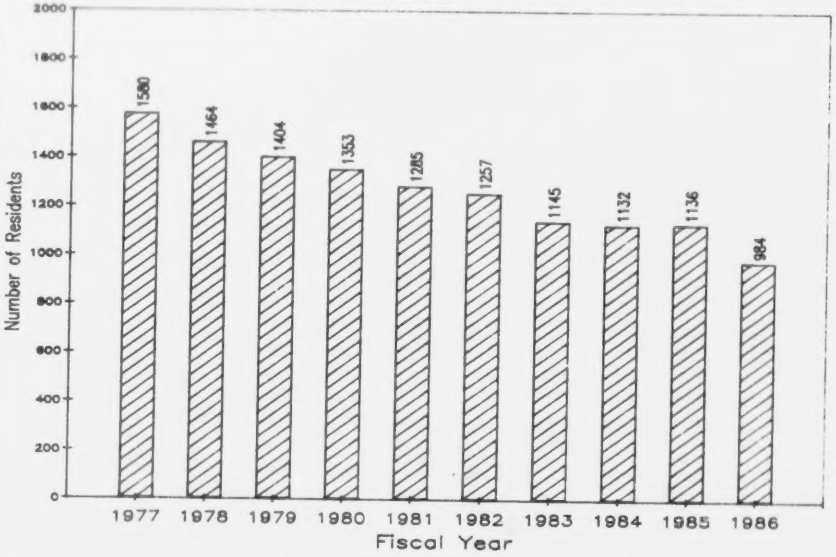


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $42.1 Million

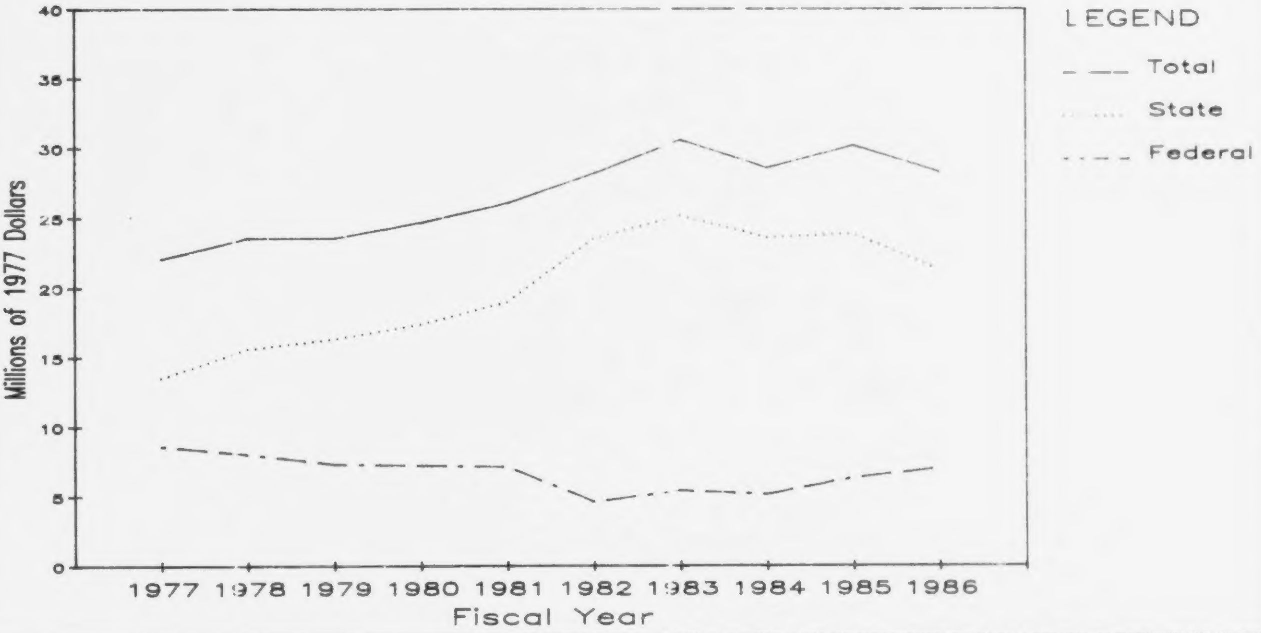
Average Daily Residents in Institutions



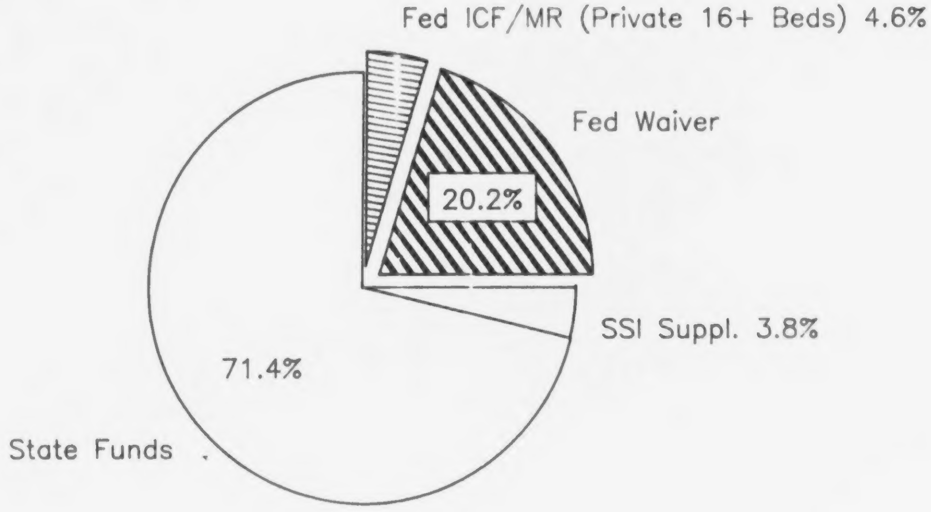
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

COLORADO

Community Spending Adjusted for Inflation
By Level of Government: FY 1977--86



Community Revenue Detail: FY 1986 (Unadjusted)

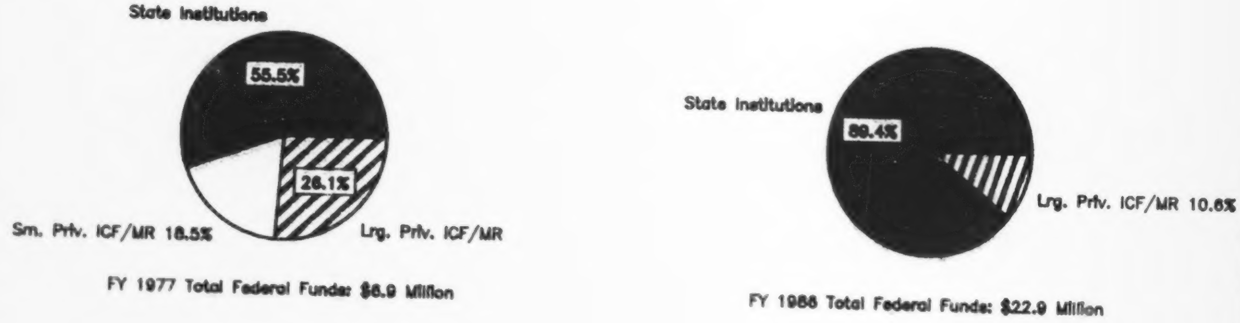


FY 1986 Total Funds: $53 Million

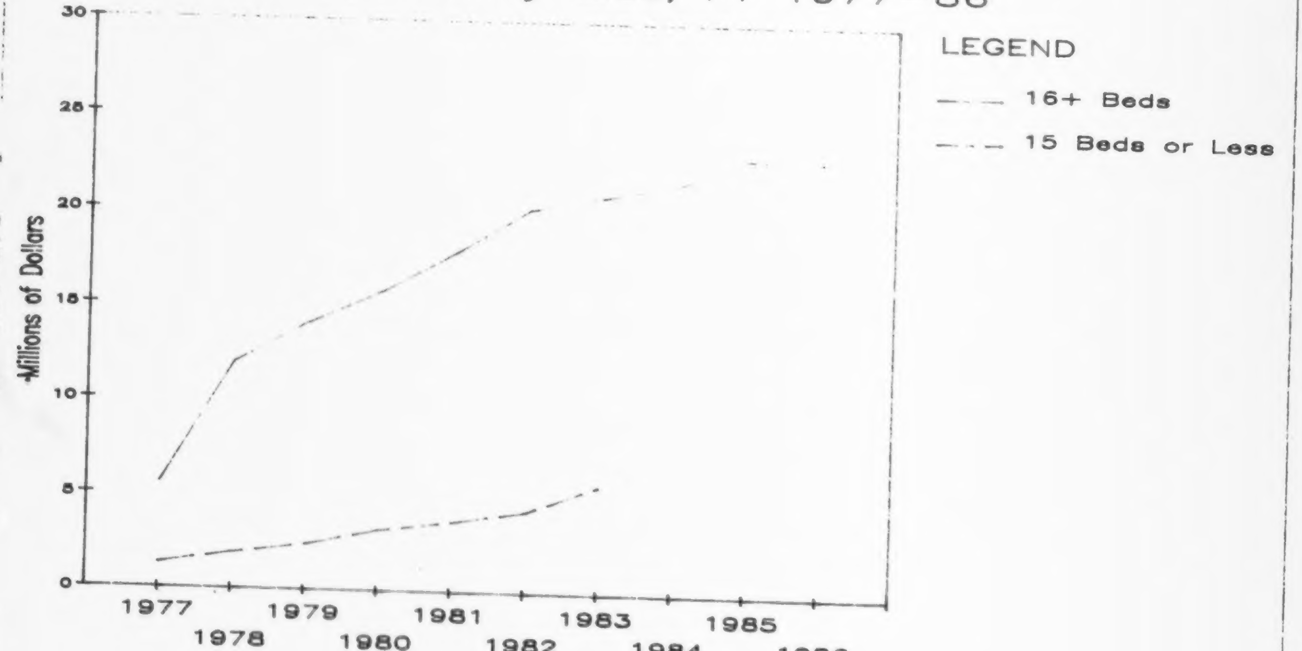
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

COLORADO

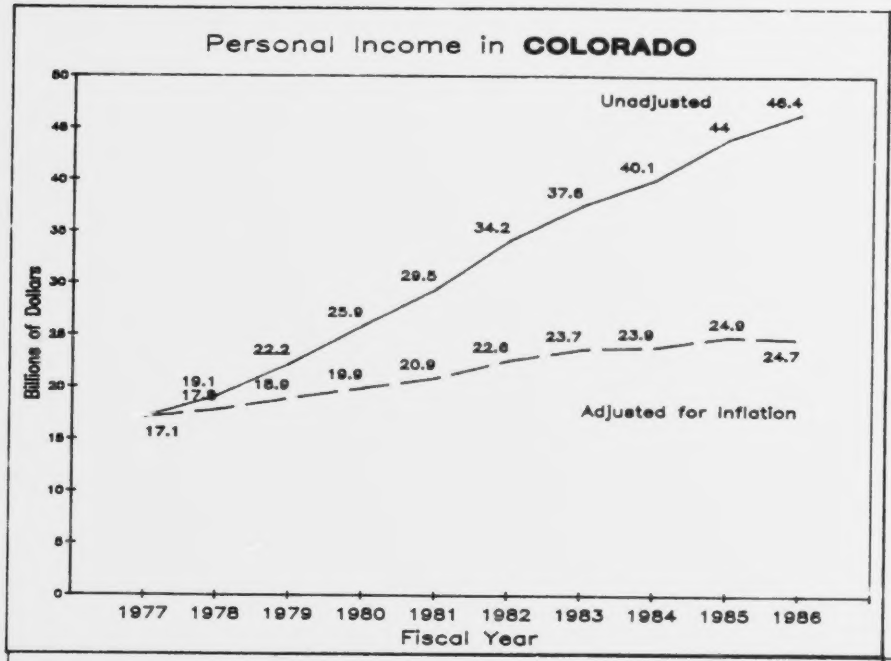
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



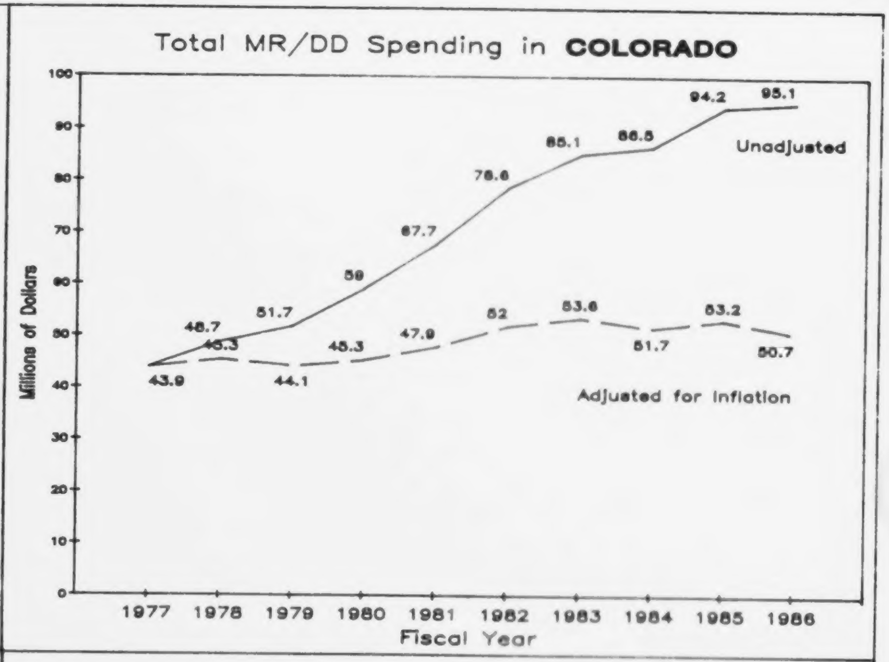
By Facility Size, FY 1977--86



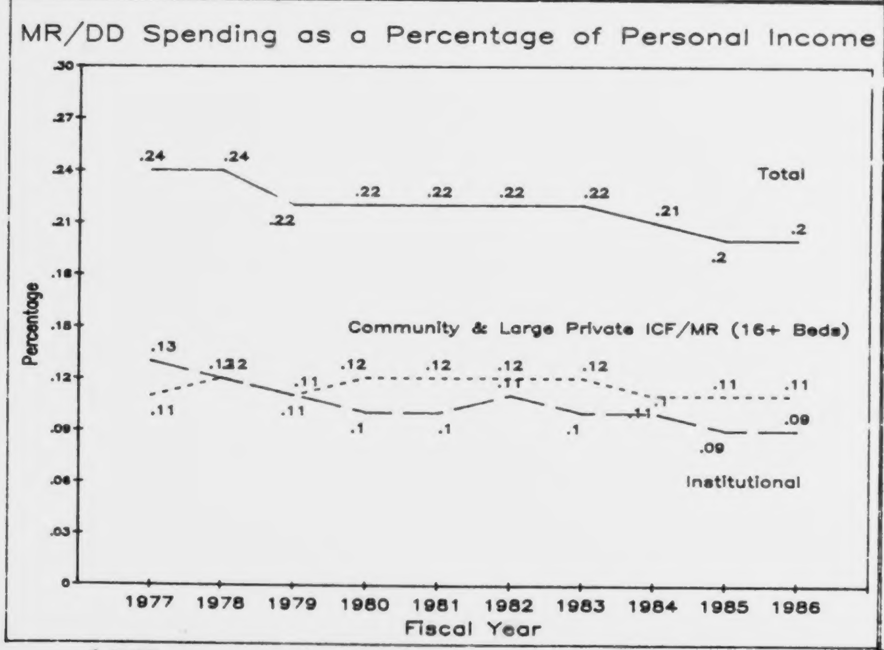
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



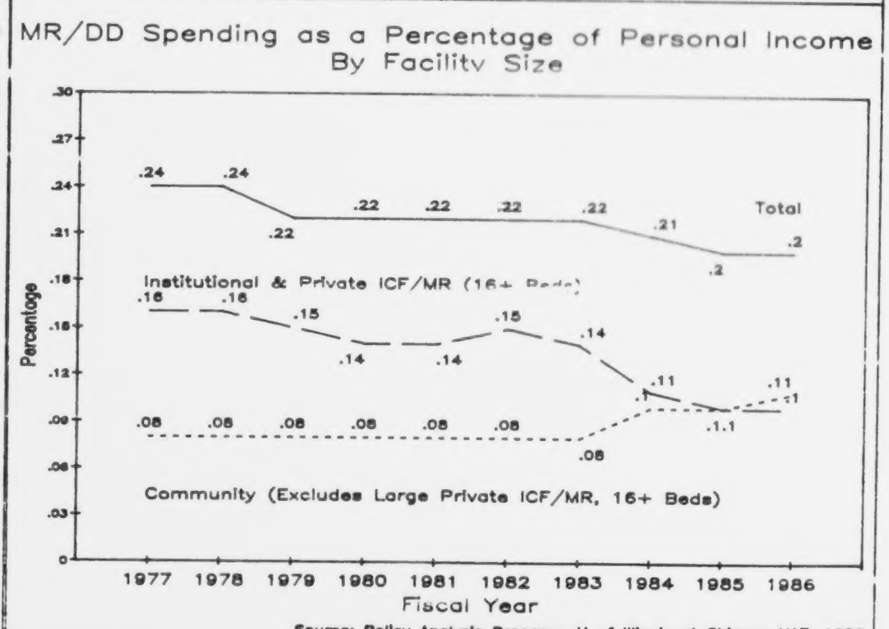
Personal Income in **COLORADO**



Total MR/DD Spending in **COLORADO**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

COLORADO 9/4/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	51,542,000	57,336,000	61,015,000	69,383,000	80,239,900	92,591,000	100,229,700	103,052,000	113,072,800	114,671,100
TOTAL INSTITUTIONAL/COMMUNITY	43,877,000	48,747,000	51,749,000	59,007,000	67,719,900	78,625,000	85,112,700	86,505,000	94,237,800	95,096,100
STATE FUNDS	30,569,000	28,723,000	30,128,000	35,277,000	41,528,000	53,594,500	58,126,400	59,145,500	62,594,900	61,301,500
General Funds	25,847,000	24,027,000	25,727,000	31,387,000	37,298,000	48,041,000	51,757,000	52,359,100	55,571,300	58,542,000
SSI State Supplement	4,659,000	4,637,000	4,395,000	3,880,000	4,221,000	4,802,000	5,559,000	5,980,000	6,325,000	2,006,000
Other State Funds	63,000	59,000	6,000	10,000	9,000	751,500	810,400	806,400	698,600	753,500
FEDERAL FUNDS	13,308,000	20,024,000	21,621,000	23,730,000	26,191,900	25,030,500	26,986,300	27,359,500	31,642,900	33,794,600
Title XIX Funds	6,857,000	13,977,000	16,434,000	18,933,000	21,553,900	24,472,000	26,598,000	27,109,400	31,450,400	33,585,000
Title XX / SSBG Funds	4,612,000	4,091,000	3,543,000	3,758,000	3,767,000	0	0	0	0	0
Other Federal Funds	1,839,000	1,956,000	1,644,000	1,039,000	871,000	558,500	388,300	250,100	192,500	209,600
INSTITUTIONAL SERVICES FUNDS	21,765,000	23,325,000	24,027,000	26,903,000	30,885,000	36,096,000	36,480,700	38,577,400	40,807,900	42,061,600
STATE FUNDS	17,033,000	11,902,000	10,992,000	12,559,000	14,665,000	18,041,500	18,054,400	19,721,600	20,266,600	21,418,200
General Funds	16,970,000	11,843,000	10,986,000	12,549,000	14,656,000	17,290,000	17,244,000	18,915,200	19,568,000	20,664,700
Other State Funds	63,000	59,000	6,000	10,000	9,000	751,500	810,400	806,400	698,600	753,500
FEDERAL FUNDS	4,732,000	11,423,000	13,035,000	14,344,000	16,220,000	18,054,500	18,426,300	18,855,800	20,541,300	20,643,400
Federal ICF/MR	3,802,000	10,114,000	11,974,000	13,429,000	15,349,000	17,496,000	18,038,000	18,605,700	20,348,800	20,433,800
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	930,000	1,309,000	1,061,000	915,000	871,000	558,500	388,300	250,100	192,500	209,600
COMMUNITY WITH FEDERAL INCOME MAINT	29,777,000	34,011,000	36,988,000	42,480,000	49,354,900	56,495,000	63,749,000	64,474,600	72,264,900	72,609,500
COMMUNITY SERVICES FUNDS	22,112,000	25,422,000	27,722,000	32,104,000	36,834,900	42,529,000	48,632,000	47,927,600	53,429,900	53,034,500
STATE FUNDS	13,536,000	16,821,000	19,136,000	22,718,000	26,863,000	35,553,000	40,072,000	39,423,900	42,328,300	39,883,300
General Funds	8,877,000	12,184,000	14,741,000	18,838,000	22,642,000	30,751,000	34,513,000	33,443,900	36,003,300	37,877,300
SSI State Supplement	4,659,000	4,637,000	4,395,000	3,880,000	4,221,000	4,802,000	5,559,000	5,980,000	6,325,000	2,006,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	8,576,000	8,601,000	8,586,000	9,386,000	9,971,900	6,976,000	8,560,000	8,503,700	11,101,600	13,151,200
ICF/MR Funds	3,055,000	3,863,000	4,460,000	5,504,000	6,204,900	6,976,000	8,560,000	2,995,600	2,672,900	2,419,100
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	1,265,100	1,938,000	2,359,200	3,173,400	3,676,900	4,272,300	5,718,500	0	0	0
Large Private	1,789,900	1,925,000	2,100,800	2,330,600	2,528,000	2,703,700	2,841,500	2,995,600	2,672,900	2,419,100
Other Title XIX Funds	0	0	0	0	0	0	0	5,508,100	8,428,700	10,732,100
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	5,508,100	8,428,700	10,732,100
Title XX / SSBG Funds	4,612,000	4,091,000	3,543,000	3,758,000	3,767,000	0	0	0	0	0
Other Federal Funds	909,000	647,000	583,000	124,000	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	7,665,000	8,589,000	9,266,000	10,376,000	12,520,000	13,966,000	15,117,000	16,547,000	18,835,000	19,575,000
Suppl. Security Income (SSI)	5,006,000	5,634,000	5,820,000	6,284,000	7,381,000	8,247,000	8,942,000	10,165,000	11,098,000	12,121,000
Childhood Disability (SSDI)	2,659,000	2,955,000	3,446,000	4,092,000	5,139,000	5,719,000	6,175,000	6,382,000	7,737,000	7,454,000
F.F.P. Rate	54.69%	53.96%	53.71%	53.30%	53.16%	51.11%	50.43%	51.58%	51.96%	50.00%
Daily Institutional Population	1,580	1,464	1,404	1,353	1,285	1,257	1,145	1,132	1,136	984
Institutional Per Diem	37.74	43.65	46.89	54.33	65.85	78.67	87.29	93.11	98.42	117.11

CONNECTICUT

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The Department of Mental Retardation (DMR) is a cabinet-level agency. In the Governor's Budget documents, DMR was under the general heading Health and Hospitals; however, this was for budget categorization and not related to administrative direction.

Budget Format. The Governor's Budget document presentation was relatively consistent for FY 1977 thru FY 1984, providing Department of Mental Retardation totals, and "Expenses by Function" for each year as follows:

- Department of Mental Retardation Total
    - Payments to Other Than Local Governments
    - Payments to Local Governments
    - Equipment, Capital Outlay
    - Federal Contributions
    - Private Contributions
- Current Expenses by Function
    - Institutional Residence Program
    - Group Home Program
    - Education and Training Program
    - Community Programs
    - Health and Rehabilitation Services
    - Administrative and Support Services
    - Central Office

However, the Department of Mental Retardation Budget-in-Detail document for FY 1987 (which contained FY 1985 actual expenditures and FY 1986 estimated spending based on appropriation) represented a different format, in which there were eight functional areas: Own or Family Home; Regional Offices; Supervised Apartments; Community Training Homes; Group Homes; Other Specialized Residential Facilities; Training Schools and Management Services (Central Office).

Note on Data Sources. Governor's Budget documents for budget years 1979-83; the Legislative Office of Fiscal Analysis (L.O.F.A.) Budget Report for 1983/84; and the FY 1987 DMR Budget-in-Detail were reviewed. These documents provided "actual" expenditure figures for FYs 1977-82 and FY 1985; an "appropriation" for FY 1984; an "estimated expenditure" figure based on appropriation for FY 1983 and for FY 1985; and an executive recommendation for FY 1986.

Richard Fraser, Administrative and Fiscal Services, DMR (p.c., telephone, 10/28/83) indicated that there were fourteen "agencies" which served as budget centers (two state training schools-- Mansfield and Southbury--and twelve regional centers).

For FYs 1977-84 analysis, we utilized the "Expense by Function" categories from the Governor's Budgets, and sought Connecticut officials' judgements about what percentage of each function was community or institutional:

EXPENSE FUNCTION	INSTITUTIONAL PERCENTAGE	COMMUNITY PERCENTAGE
Institutional Residence Program	100 %	----
Group Home Program	10 %	90 %
Education and Training Program	41.5 %	58.5 %
Community Programs	----	100 %
Health & Rehabilitation Services	25 %	75 %

These percentages were applied to the expenditure figures for each function, for each year, resulting in subtotals for FYs 1977-84. We then considered the two remaining expense functions (Administrative and Support Services and Central Office): The former was apportioned (90% Institutional Services) and the latter was excluded, consistent with the study's general definitions. Finally, we obtained Title XIX ICF/MR Federal reimbursement figures from the Bureau of Collections Services, Department of Income Maintenance, to apportion between institutional services and private ICF/MR; and, we obtained Title XX (Social Service Block Grant) Federal receipt figures from DMR (all revenues from Title XX were for community services).

The results of this preliminary analysis were mailed to Connecticut DMR officials on 12/23/83; subsequently, R. Fraser, (p.c., telephone, 2/3/84) indicated that: a) fringe benefits for employees should be included; b) the allocation between community and institutional services that we had utilized was not consistent with the Connecticut Comptroller's calculations for Federal reimbursement per diems; and, c) ICF/MR reimbursements should be indicated for the state-operated group homes.

To assist in correcting the figures, Fraser forwarded copies of the FY 1981 and FY 1982 Comptroller's expenditure work sheets (containing fringe benefits at a level of 30-40% of total personal services costs) which had been utilized by the Comptroller's Office to calculate FY 1982 and FY 1983 per capita costs in DMR. We utilized these two sample years (FYs 1981 & '82), along with the information already obtained from Connecticut annual budgets, to develop a revised analysis for FYs 1977-84. The following summary indicates the analytical steps taken to integrate expenditure figures from the Comptroller, the Governor's Budget, and other sources into the format of the FYs 1977-84 analysis:

Step 1. The Comptroller's worksheets (for FYs 1981 and '82) provided "adjusted total" expenditures for each of the 14 agencies within DMR. These were aggregated (except central office costs), resulting in a total of $101,128,000 for FY 1981.

Step 2. The Comptroller's allocation of this adjusted total on the worksheets for FY 1981 was ($'s in thousands):

Inpatient	$ 69,647.0
Group home	7,463.0
Education & Training	17,947.0
Outpatient	4,735.0
Other	1,336.0
	$101,128.0

Step 3. When Education & Training and Other expenditures were allocated to the remaining three elements (Inpatient, Group Home and Outpatient) the new inpatient figure was $86,057,000, the new Group Home total was $9,220,000; and outpatient was $5,851,000.

(Note: This Comptroller's worksheet had included building depreciation, bond interest, and Central Office distribution. These expenses were excluded from the analysis, consistent with the study's general definitions.)

Step 4. The Governor's Budget books had provided expense by function expenditure figures for FYs 1977-84 (not including employee fringe benefits). Considering outpatient and group home from the Step above to be "community," we extrapolated to FYs 1977-80, and to FYs 1983-84 based on the ratio of these elements in the Comptroller's worksheet figures for FYs 1981-82. In other words, Budget book expense by function totals for each year were separated into institutional and community spending in the same ratio as the Comptroller's worksheet indicated for FYs 1981-82.

Step 5. It was then necessary to determine ICF/MR revenues for Group Homes for each year. Since the Federal/State match for Connecticut for all years was 50%, we determined 50% of the Group Home figures for FYs 1980-84 (concluding that the phasing-in group home program during FYs 1977-79 did not receive any Title XIX reimbursement).

Step 6. The Federal share of Group Home expenditures was included in the analysis as Small Public ICF/MR; the state share (all group home expenditures in FYs 1977-79 were state funds) was included with Outpatient (from Step 3 above), Payments to Other Than Local Governments and Payments to Local Governments, and the resulting sums for each year were then entered in the analysis as community services General Fund.

Step 7. We received Connecticut's total Federal ICF/MR figures from the Department of Income Maintenance; these figures represented Federal revenue for Institutional Services, for Group Homes and for Private ICFs/MR. We calculated Institutional Services Title Federal ICF/MR funds by subtracting (for FYs 1980-84) the Group Homes ICF/MR revenues as calculated in Step 5 above, and private ICF/MR Federal revenue (see discussion below in Section III).

For FYs 1985-86 analysis, and because the Department had begun reporting expenditures in eight program areas, we contacted John Campion, Division of Strategic Planning, DMR (p.c, telephone, 2/19/86, 3/12/86) for assignment of program areas to institutional services (Regional Offices; Other Specialized Residential Services; Training Schools) and to community services. As with the FY 1977-84 analysis, Management Services was excluded.

The FY 1987 Budget-in-Detail provided information on various Federal project revenues (which we categorized Other Federal Funds) and Social Service Block Grant Funds. To include employee fringe benefits (still accounted for in the State Comptroller's office), we added 37.18% to personal services costs for each of the program areas. The actual revenues from Title XIX ICF/MR were provided for FYs 1982-84 and estimated for FY 1986 (p.c., telephone, K. Neugebauer, Director, Administration and Finance). The FY 1985 Federal ICF/MR figure was available from the Bureau of Collection Services Annual Report, July 1984--June 30, 1985.

Average daily population figures for FYs 1977-84 were available from budget documents. Institutional population figures were determined as follows for FY 1985 and FY 1986. On page 473 of the Budget-in-Detail were figures indicating the number of "Regional Center on Campus" beds which were ICF/MR certified, and also what percent this was of total Regional Center on Campus beds. Dividing by that percentage each year produced an estimate of 758 for FY 1985 and 681 for FY 1986. In addition, page 483 of the Budget-in-Detail offered figures for "clients served" at Mansfield and Southbury Training Schools (1,819--FY 1985 actual; 1,599 FY 1986 estimated). These training school and regional center on campus figures were combined.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the apportioned expenditures calculated for the two state training schools and for the institutional residence portion of the 12 regional centers. For FY 1985-86, expenditures for the training schools, regional offices and other specialized residential services were considered.

State General Funds. As noted above, several calculations, including estimates of the amount of Federal ICF/MR reimbursements, were conducted to determine a net amount of general fund.

Other State Funds for FY 1977-84 consisted of figures in the Governor's budget documents reported as "private contributions."

Federal ICF/MR consisted of a portion of the Federal ICF/MR total reimbursements to DMR, obtained from the Bureau of Collections Services.

Other Federal Funds. The Legislative Office Fiscal Analysis Budget Report for FY 1984 indicated (page 204) that there were (in FY 1984) Federal Contributions from Developmental Disabilities Program ($486,500); Supplemental Education Services Grant, Title I ($419,800); Maternal and Child Health ($119,600); Medicaid Utilization Review ($134,100); Rehabilitation and Training ($199,600); Vocational Education ($40,500); and Handicapped Innovative Program ($18,700).

Considering Title I and Medicaid Utilization Review (total $553,900) to be institutional services, we utilized this percentage of the total--39%--to determine the institutional amount of Other Federal Funds for each of the previous years. (As noted above, for FY 1985 and FY 1986, the Budget-in-Detail indicated "Federal Contributions.")

III. COMMUNITY SERVICES FUNDS

Community services consisted of State General Funds, as determined in the calculations summarized in Section I above; Title XX/SSBG revenues; a portion of Other Federal Funds; the amount of Federal ICF/MR revenue and state matching funds determined for Group Homes; and Private ICF/MR expenditures. Expenditures for FY 1985 and FY 1986 were obtained from the DMR FY 1987 Budget-in-Detail document. The program areas included in community services were: Own or Family Home; Supervised Apartments; Community Training Homes; and Group Homes. As with institutional services, personal services costs in these areas were increased by 37.18% to account for fringe benefits.

Small Public ICF/MR. Section I above indicated the method for determination of Group Home expenditures for FY 1977-84. For FY 1985-86, John Campion (p.c., telephone, 3/17/86) provided bed numbers and per diem rates for community-based, state-operated group homes. He indicated that, in FY 1986, there were 29 certified facilities, with a total of 279 beds, and an over-all expenditure estimate of $13,990.4 thousand. In addition, there were fourteen Private ICFs/MR, with 115 beds, and an estimated expenditure level of $4,087.5 thousand. As noted above in the discussion of institutional services, we had received total DMR ICF/MR figures for FYs 1982-86 from the Bureau of Collection Services report, and in personal communication with the Director of Administration and Finance.

Therefore, expenditures for the certified state-operated group homes were subtracted from the DMR ICF/MR totals, and the remainder was determined to be reimbursements to training schools and to on-campus regional center beds. (Note: FY 1985 community-based, state-operated group home and private ICF/MR expenditures were obtained by interpolation between FY 1984 and FY 1986 figures.)

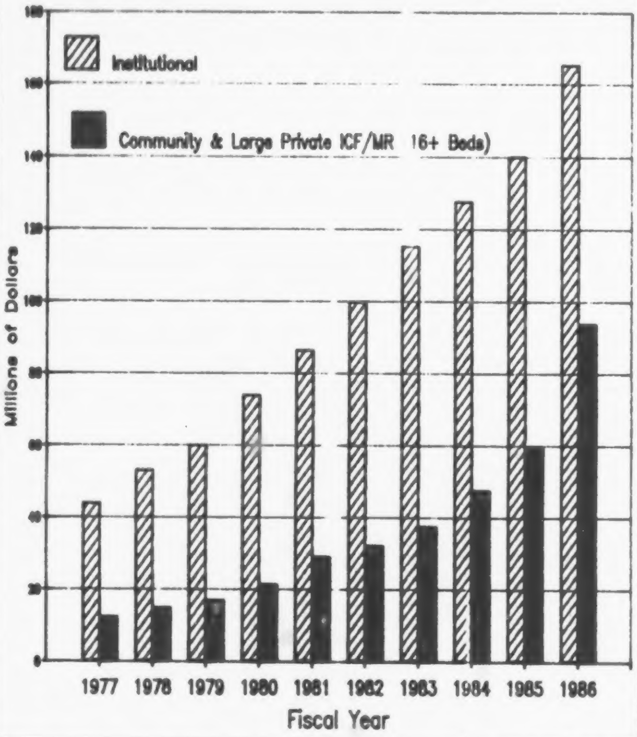
Private ICF/MR Small. For FYs 1980-84, expenditures were based on an estimate of 102 beds, at an average of $17,750 per capita (p.c., J. Campion, 11/8/83). For FYs 1985-86, expenditures were determined based on an extimate of 115 beds in fourteen private facilities (p.c., J. Campion, 3/17/86).

Federal Title XX/SSBG for FYs 1977-84 consisted of estimates reported by John Campion (p.c., telephone, 12/12/83). FYs 1985-86 SSBG figures were presented in the FY 1987 Budget-in-Detail document.

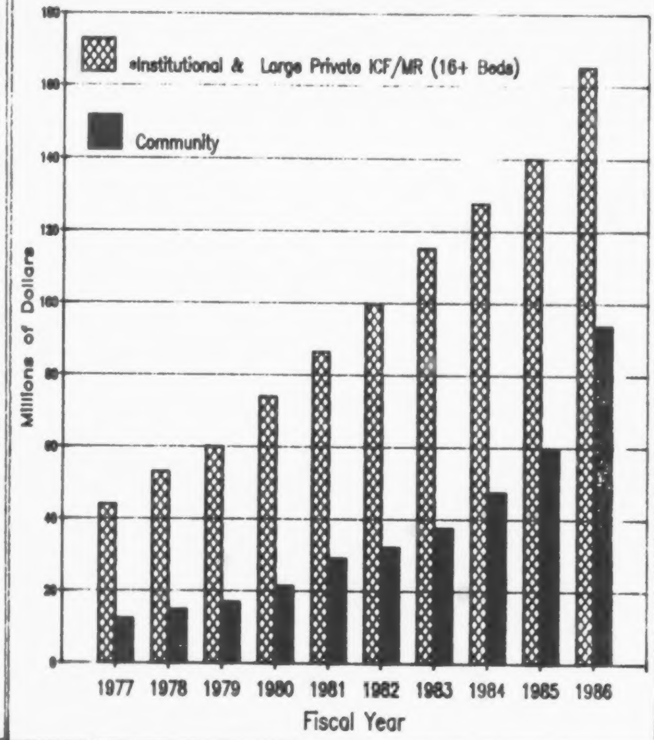
Other Federal Funds. As noted above in Section II, an apportionment method was utilized to determine Other Federal Funds for institutional and community services, respectively, for FY 1977-84. FY 1985 and FY 1986 federal contributions were detailed in the FY 1987 Budget-in-Detail document.

CONNECTICUT

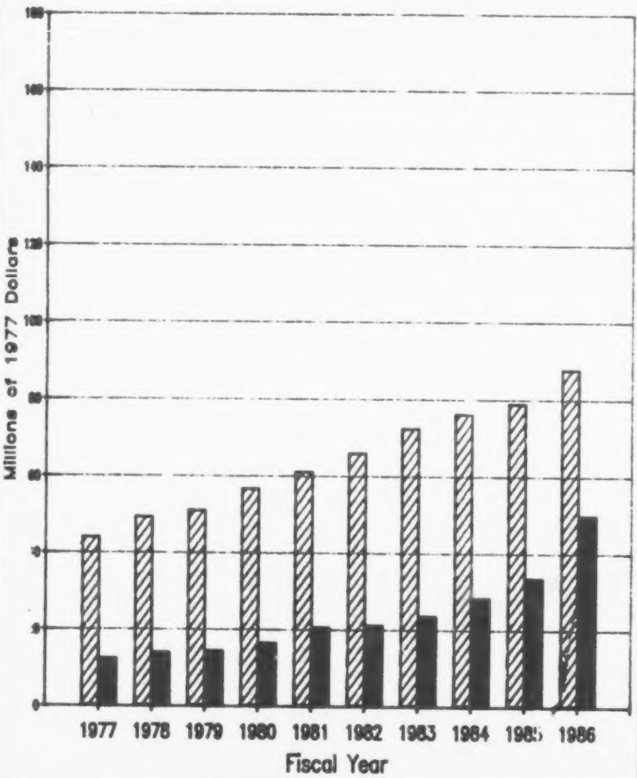
MR/DD Expenditures for *Institutional* & *Community* Services



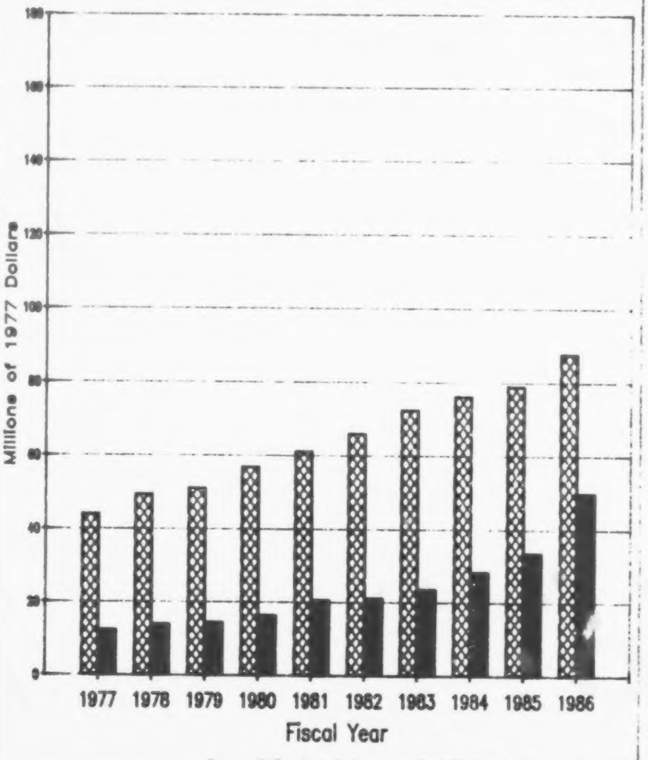
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



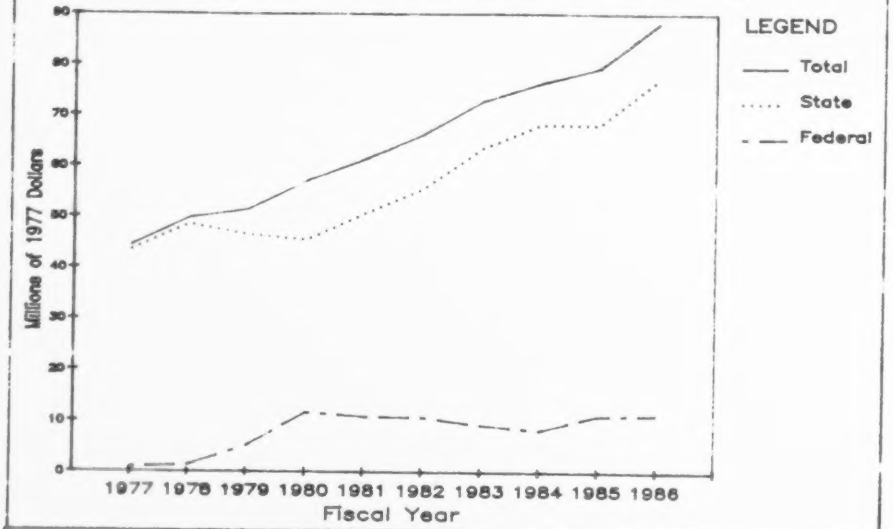
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

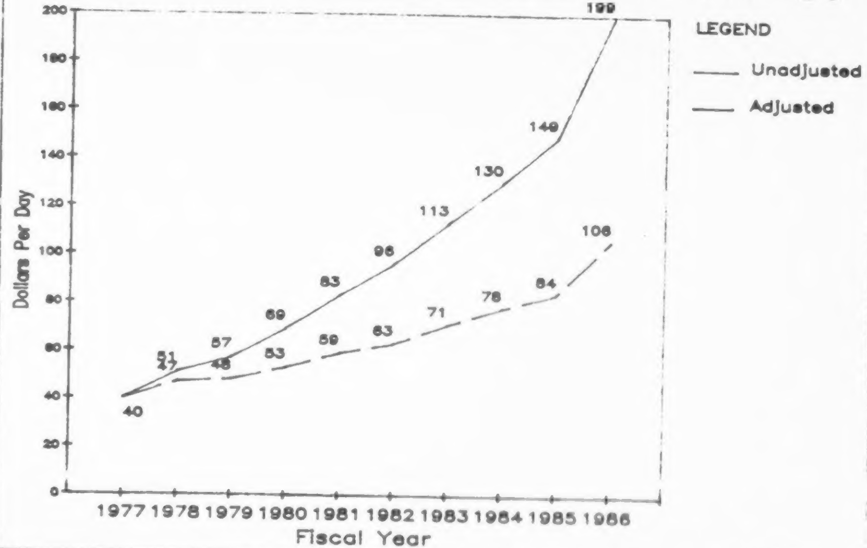
CONNECTICUT

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

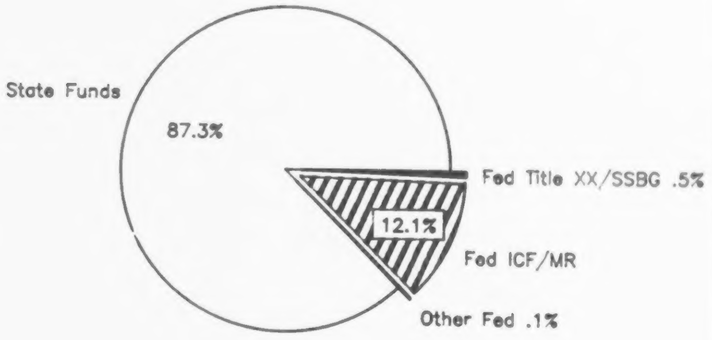


CONNECTICUT

Institutional Per Diem Costs: FY 1977–86

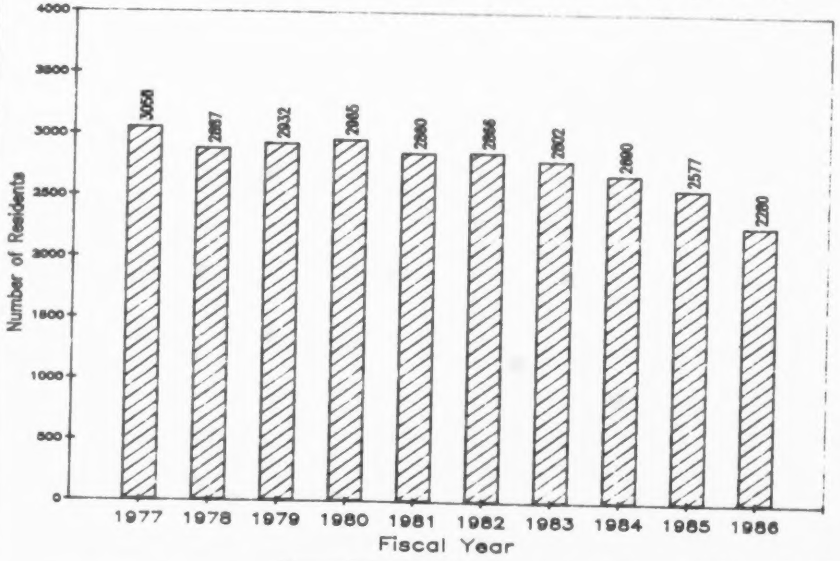


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $165.6 Million

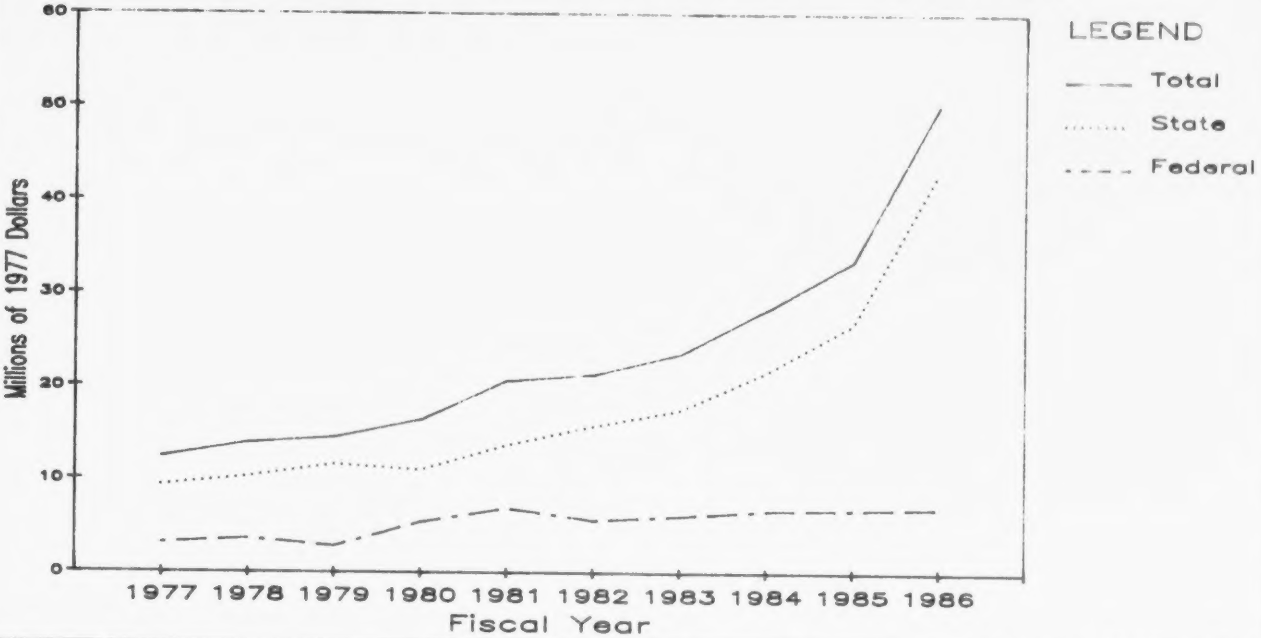
Average Daily Residents in Institutions



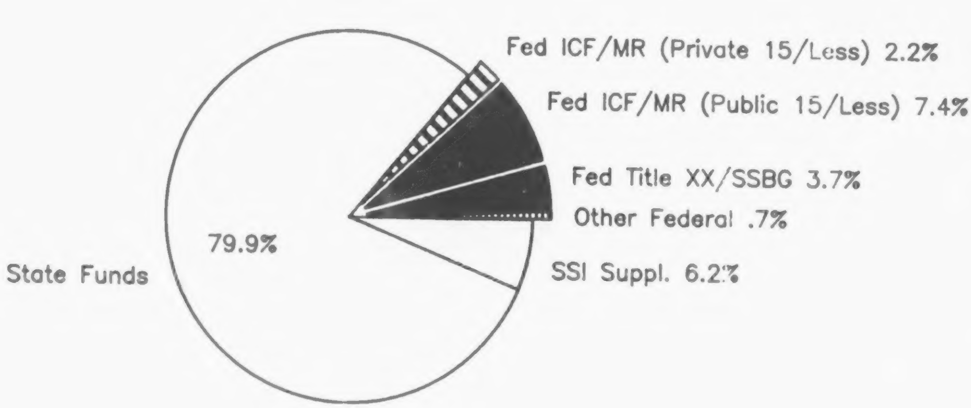
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

CONNECTICUT

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

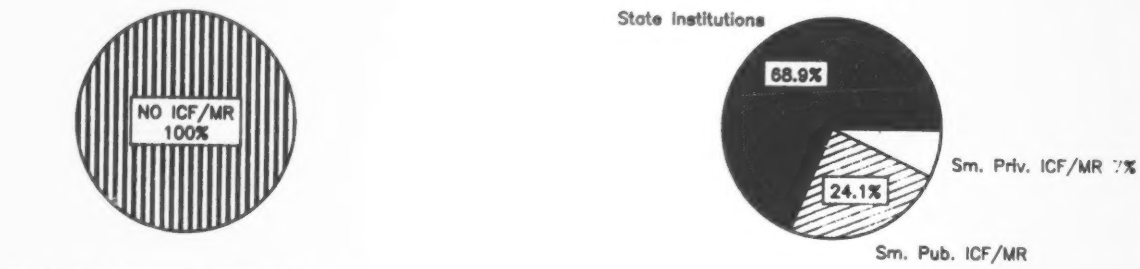


FY 1986 Total Funds: $94.3 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

CONNECTICUT

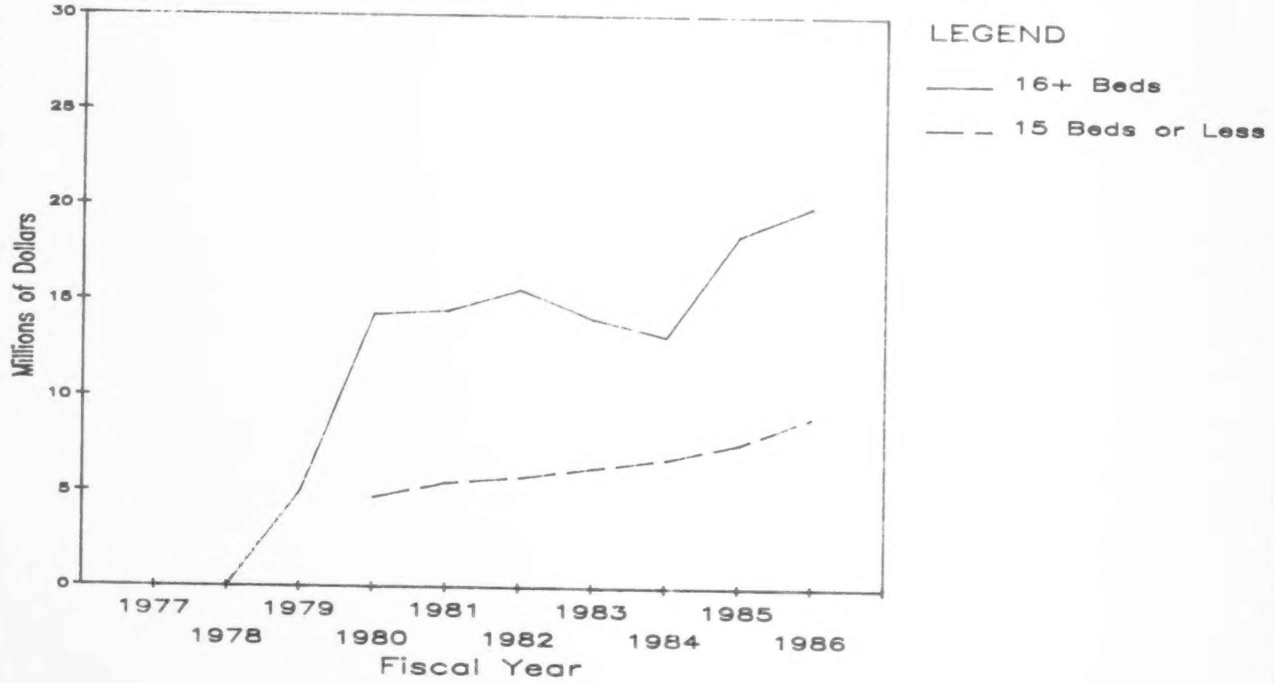
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $0 Million

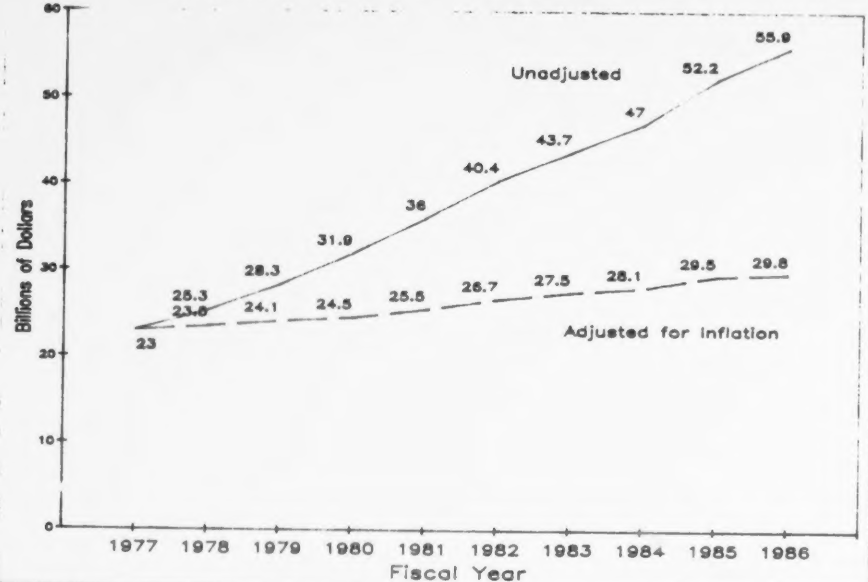
FY 1986 Total Federal Funds: $29 Million

By Facility Size, FY 1977–86

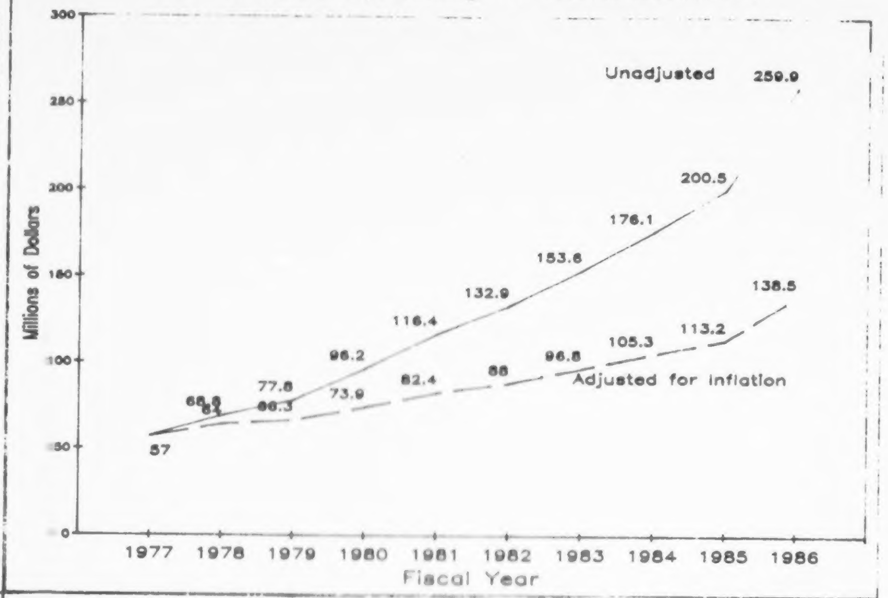


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

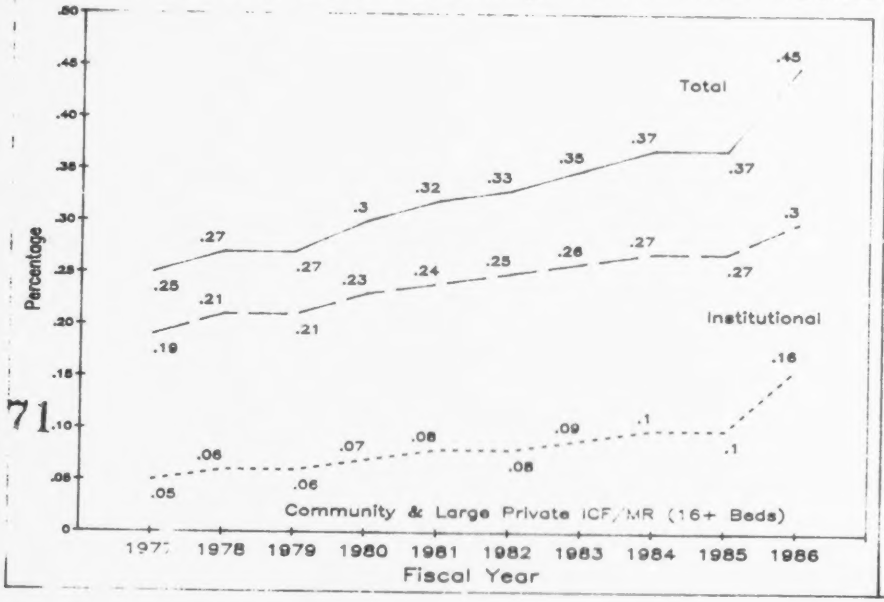
Personal Income in **CONNECTICUT**



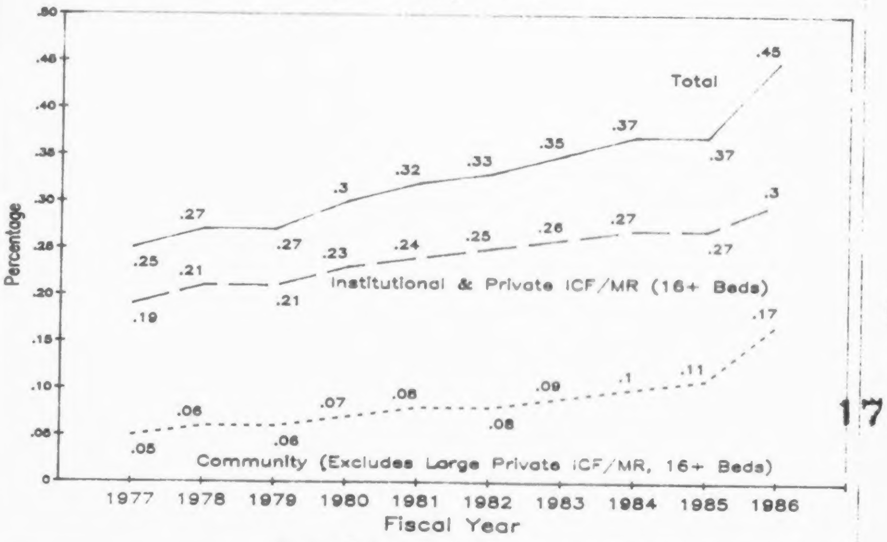
Total MR/DD Spending in **CONNECTICUT**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

CONNECTICUT 5/19/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	65,679,000	78,325,000	88,222,000	108,114,000	130,810,000	149,425,000	171,597,300	196,203,400	224,847,100	283,570,200
TOTAL INSTITUTIONAL/COMMUNITY	56,980,000	68,784,000	77,777,000	96,167,000	116,438,000	132,864,000	153,604,300	176,159,400	200,490,100	259,893,200
STATE FUNDS	53,065,000	63,579,000	68,492,000	73,982,000	91,400,000	108,253,000	129,310,000	151,062,800	168,731,000	225,637,200
General Funds	51,066,000	61,188,000	65,554,000	70,412,000	87,600,000	104,485,000	124,762,000	145,386,800	162,764,000	219,785,200
SSI State Supplement	1,997,000	2,374,000	2,930,000	3,549,000	3,730,000	3,729,000	4,513,000	5,641,000	5,967,000	5,852,000
Other State Funds	2,000	17,000	8,000	21,000	70,000	39,000	35,000	35,000	0	0
FEDERAL FUNDS	3,915,000	5,205,000	9,285,000	22,185,000	25,038,000	24,611,000	24,294,300	25,096,600	31,759,100	34,256,000
Title XIX Funds	0	12,000	4,971,000	19,015,000	20,009,000	21,336,000	20,370,300	20,044,600	26,105,900	29,043,800
Title XX / SSBG Funds	1,680,000	1,680,000	1,680,000	828,000	3,005,000	1,833,000	2,411,000	3,583,000	4,718,400	4,346,600
Other Federal Funds	2,235,000	3,513,000	2,634,000	2,342,000	2,024,000	1,442,000	1,513,000	1,469,000	934,800	865,600
INSTITUTIONAL SERVICES FUNDS	44,385,000	53,562,000	60,504,000	74,438,000	86,896,000	100,314,000	115,740,000	128,116,800	140,493,600	165,557,100
STATE FUNDS	43,535,000	52,215,000	54,532,000	59,280,000	71,633,000	84,181,000	101,083,000	114,339,800	120,775,600	144,444,600
General Funds	43,533,000	52,198,000	54,524,000	59,259,000	71,563,000	84,142,000	101,048,000	114,304,800	120,775,600	144,444,600
Other State Funds	2,000	17,000	8,000	21,000	70,000	39,000	35,000	35,000	0	0
FEDERAL FUNDS	850,000	1,347,000	5,972,000	15,158,000	15,263,000	16,133,000	14,657,000	13,777,000	19,718,000	21,112,500
Federal ICF/MR	0	12,000	4,971,000	14,268,000	14,494,000	15,585,000	14,082,000	13,219,000	18,473,600	20,004,800
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	974,400	892,400
Other Federal Funds	850,000	1,335,000	1,001,000	890,000	769,000	548,000	575,000	558,000	270,000	215,300
COMMUNITY WITH FEDERAL INCOME MAINT	21,294,000	24,763,000	27,718,000	33,676,000	43,914,000	49,111,000	55,857,300	68,086,600	84,353,500	118,013,100
COMMUNITY SERVICES FUNDS	12,595,000	15,222,000	17,273,000	21,729,000	29,542,000	32,550,000	37,864,300	48,042,600	59,996,500	94,336,100
STATE FUNDS	9,530,000	11,364,000	13,960,000	14,702,000	19,767,000	24,072,000	28,227,000	36,723,000	47,955,400	81,192,600
General Funds	7,533,000	8,990,000	11,030,000	11,153,000	16,037,000	20,343,000	23,714,000	31,082,000	41,988,400	75,340,600
SSI State Supplement	1,997,000	2,374,000	2,930,000	3,549,000	3,730,000	3,729,000	4,513,000	5,641,000	5,967,000	5,852,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	3,065,000	3,858,000	3,313,000	7,027,000	9,775,000	8,478,000	9,637,300	11,319,600	12,041,100	13,143,500
ICF/MR Funds	0	0	0	4,747,000	5,515,000	5,751,000	6,288,300	6,825,600	7,632,300	9,039,000
Small Public	0	0	0	3,842,000	4,610,000	4,846,000	5,383,300	5,920,600	6,457,900	6,995,200
Small Private	0	0	0	905,000	905,000	905,000	905,000	905,000	1,174,400	2,043,800
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	1,680,000	1,680,000	1,680,000	828,000	3,005,000	1,833,000	2,411,000	3,583,000	3,744,000	3,454,200
Other Federal Funds	1,385,000	2,178,000	1,633,000	1,452,000	1,255,000	894,000	938,000	911,000	664,800	650,300
FEDERAL INCOME MAINTENANCE	8,699,000	9,541,000	10,445,000	11,947,000	14,372,000	16,561,000	17,993,000	20,044,000	24,357,000	23,677,000
Suppl. Security Income (SSI)	6,077,000	6,628,000	7,048,000	7,913,000	9,306,000	10,923,000	11,905,000	13,752,000	15,270,000	16,329,000
Childhood Disability (SSDI)	2,622,000	2,913,000	3,397,000	4,034,000	5,066,000	5,638,000	6,088,000	6,292,000	9,087,000	7,348,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
Daily Institutional Population	3,058	2,887	2,932	2,965	2,860	2,866	2,802	2,690	2,577	2,280
Institutional Per Diem	39.77	50.83	56.54	68.59	83.24	95.89	113.17	130.13	149.37	198.94

DELAWARE

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Community and institutional services for mentally retarded individuals in Delaware are administered by the Division of Mental Retardation within the Department of Health and Social Services. The Office of the Director, within the Division of MR, was formed in FY 1981. Prior to that time, the Superintendent of Stockley Center served in a dual capacity as both Superintendent of Stockley and Director of the State Division of MR.

Budget Format. From FYs 1977-80, the Division of MR budget had only two categories: Hospital for the Mentally Retarded (changed to Stockley Center in the FY 1982 budget), and Community Mental Retardation Program. Starting in FY 1981, the Director's Office was added. In all years, the funding source categories were the same: "General Funds" and "Special Funds."

In accordance with this project's general definitions, we have excluded central administration expenditures. Therefore, with the exception of Medicaid revenues, Director's office funds were not included. Prior to FY 1981 no funds were excluded for central administrative costs because the Stockley Center personnel were serving in dual capacities, handling state administrative duties as well as the institution responsibilities.

Note on Data Sources. Delaware has a biennial budget. FYs 1977-83 and FY 1985 actual expenditures were obtained from the 1979, 1981, 1982, 1983, 1984, and 1987 Governor's Recommended Budget. FY 1984 actual expenditures were obtained from budget unit cost detail documents obtained from the Division of Mental Retardation. FY 1986 budgeted figures were obtained from the FY 1987 budget and interviews with Division of MR personnel. Title XIX ICF/MR reimbursements to private providers and Waiver funding figures were provided by Paula Jones, Budget Analyst, Division of Planning Research and Evaluation, Department of Health and Social Services (p.c., telephone, 8/25/86). FYs 1977-83 resident population figures were obtained from Kathy Wooten, Records Office, Stockley Center, (p.c., telephone, 5/18/84); FY 1984-86 figures were provided by Henry Brown, Division of MR (p.c., telephone, 9/4/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional Services includes expenditures for Stockley Center residents. In FY 1977 and FY 1978, the State DD Council was included in the Stockley budget. These funds ($127,956 in FY 1977 and $47,541 in FY 1978) were deducted from the Special Fund category under Stockley because they were not deployed for Institutional Services purposes.

State General Funds. In Delaware federal Title XIX ICF/MR receipts were deposited directly into the General Fund. An amount representing the federal share (50%) of total Title XIX funding was deducted each year from the Institutional "General Fund" and reflected in the Federal ICF/MR line in this analysis. In addition, FY 1986 funds for a community-based ICF/MR group home, embedded in the Stokley budget, were deducted and placed into the community services section. Although we have excluded major capital construction costs in this analysis, the following "Debt Service" payments are included in the General Fund line each year. According to Ann Hall (p.c., telephone, 8/24/83), Delaware sold bonds to finance its capital construction. The principal and interest payment on these bonds was prorated and assigned to each state agency and identified in the budget as "debt service." The following amounts of debt service remained in the General Fund under both Stockley Center and Community MR Program ($ in thousands).

Fiscal Year	Institutional	Community
1977	$ 488	$ 5
1978	494	5
1979	482	7
1980	461	22
1981	478	21
1982	504	20
1983	535	20
1984	568	19
1985	552	19
1986	530	15

In FY 1986, purchase of care funds for community-based group homes was included in the Stockley Center budget (approximately $1.1 million). These funds were excluded from our institutional services computations and carried in the community services funds of our analysis (see Title XIX Day Program note).

Other State Funds were primarily private donations, interest on client trust funds, and proceeds from the canteen fund (p.c., telephone, Ann Hall, 9/28/83). These funds were labeled "Special Fund" in the Governor's Budget document.

Also included in this line was a small amount for four federal Vocational Education grants from FYs 1981-84. Ann Hall (p.c., telephone, 9/28/83) estimated the grants to be $5,800 total for the four years combined.

Federal ICF/MR. Delaware budgets' gross ICF/MR receipts were in the "General Fund" line, as explained above. Ann Hall, Stockley Business Office (p.c., telephone, 8/24/83) provided the gross receipts for FYs 77-83. FYs 1984-86 Title XIX receipts were taken from the revenue detail section of the Stockley Center budget. The state/federal matching rate was 50%, so a sum representing the federal share, which was half of the gross receipts, was deducted from the Institutional General Fund line and carried here as the Federal Title XIX share.

III. COMMUNITY SERVICES FUNDS

Community services consisted of the following: (1) the "Community MR Program" line in the Budget, (2) purchase of care funds for operating community-based residential services which were reported in the Office of Director and Stockley Center budgets, (3) the Medicaid Waiver, and (4) funding for privately-operated ICFs/MR that were carried in the Department of Health and Social Services budget.

The following amounts were added to the Community Services Budget for the community-based purchase of care services which appear in the Director's Office budget lines from FYs 1982-85, and the Stockley Center budget in FY 1986. Delaware funds non-ICF/MR group homes, foster-care services, and other residential alternatives with these funds and is reimbursed via Title XIX monies. Since these services were not ICF/MR certified, the federal share was classified under Title XIX Day Programs in this analysis.

FY 1982	$ 90
FY 1983	352
FY 1984	402
FY 1985	1,462
FY 1986	1,706

State General Funds included funds for the Community MR Program, the state match for Waiver revenues, and the state share of purchase of care funds from the Director's Office and Stockley Center budgets. The Community MR Program budget contained the federal share of Waiver funding; these monies were carried over to the Waiver section of Community Services.

Other State Funds represented donations, according to Sue Staub, Community Programs, Division of MR (p.c., telephone interview, 8/24/83). They were carried for the State in the "Special Fund" budget category along with Title XX funds. In FYs 1984-86, the state match for private ICFs/MR was included here.

Private ICF/MR. Paula Jones, Budget Analyst, Division of Planning Research and Evaluation, Department of Health and Social Services (p.c., telephone, 8/25/86), provided private ICF/MR expenditures. The state match was carried in the Other State Funds line of our analysis. The predominant residential model is the 8-bed group home.

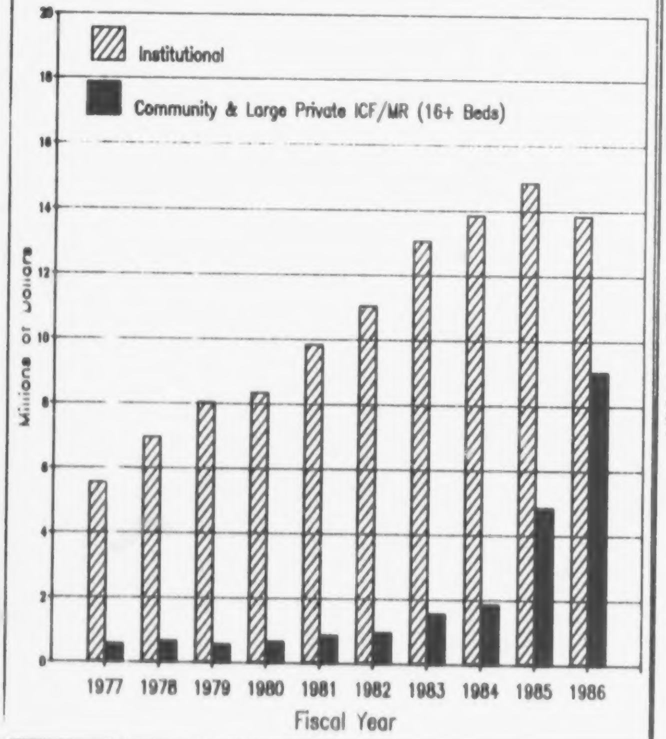
Title XIX Day Program. The state share of the purchase of care funding appearing in the Director's Office budget (in FYs 1982-85) and the Stockley Center budget (in FY 1986) was classified under this line since the Title XIX reimbursements were for non-ICF/MR services.

Waiver funds were provided by Paula Jones (p.c., telephone, 8/25/86). The state share of Waiver was carried in the state general fund line. Although individuals began receiving services under the Waiver program in FY 1985, the state did not receive federal funds until FY 1985.

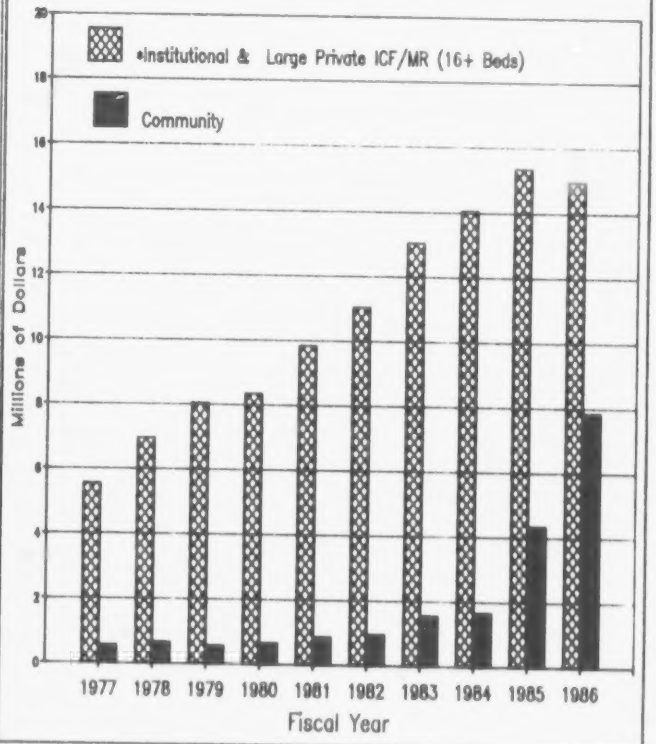
Title XX/SSBG funds were used for MR clients through FY 1981 only, after which Title XX funding was shifted to other client groups. The Title XX funds reported for MR/DD are actual dollars granted as reported by Sue Staub (p.c., telephone, 9/28/83). They did not include the 5% administrative costs for central office administration. The state matching funds were placed in the General Fund line.

DELAWARE

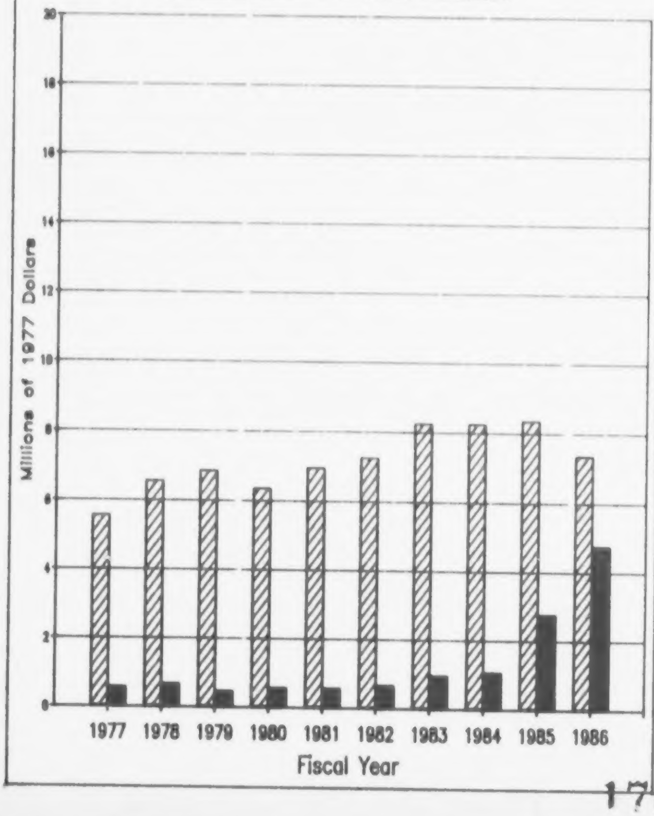
MR/DD Expenditures for *Institutional* & *Community* Services



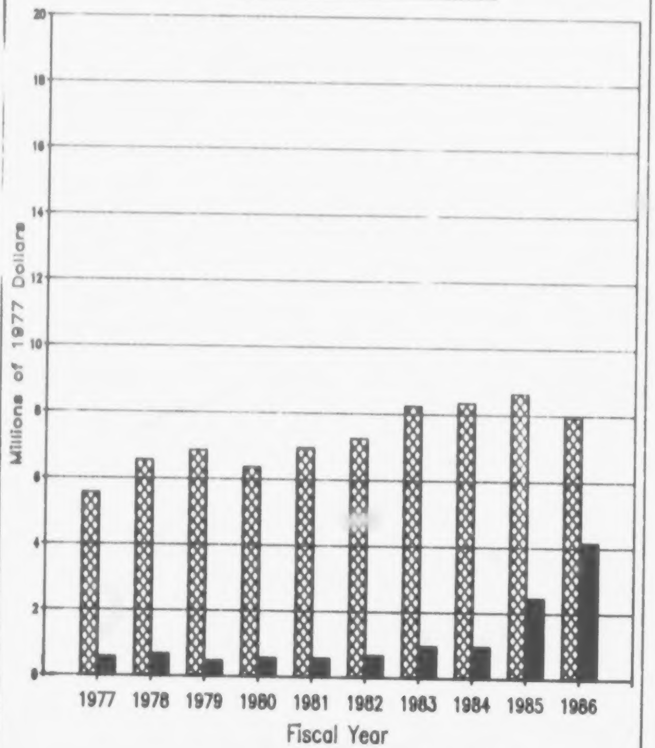
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



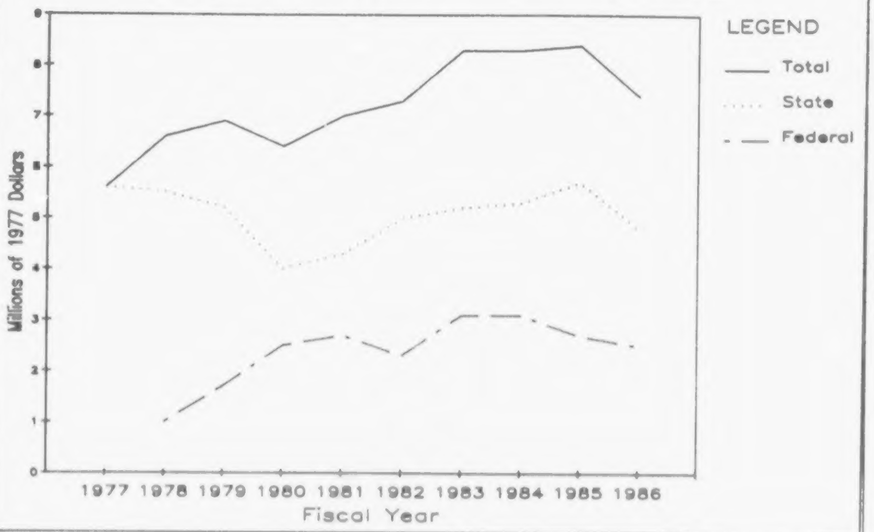
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

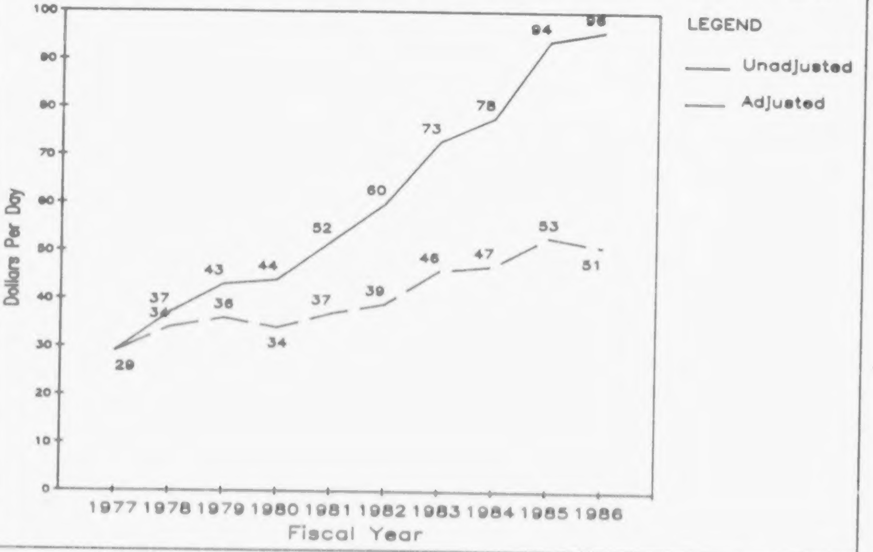
DELAWARE

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

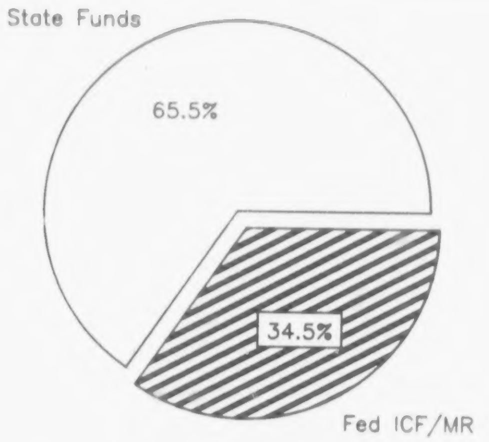


DELAWARE

Institutional Per Diem Costs: FY 1977–86

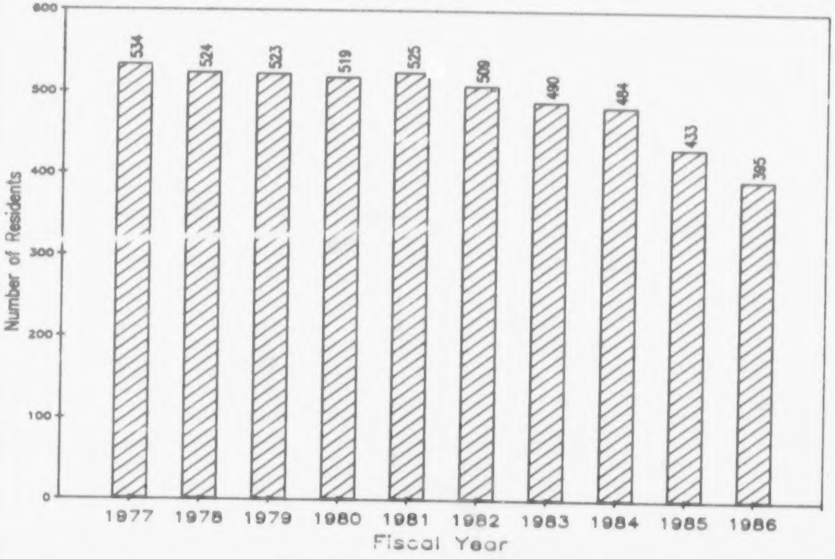


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $13.9 Million

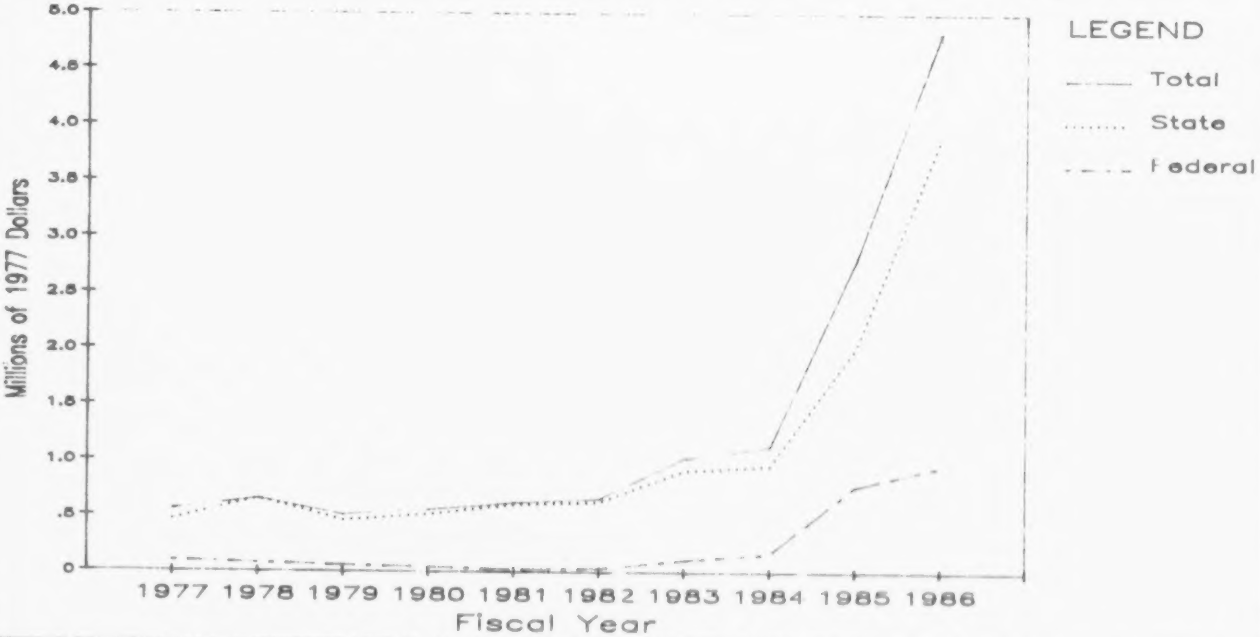
Average Daily Residents in Institutions



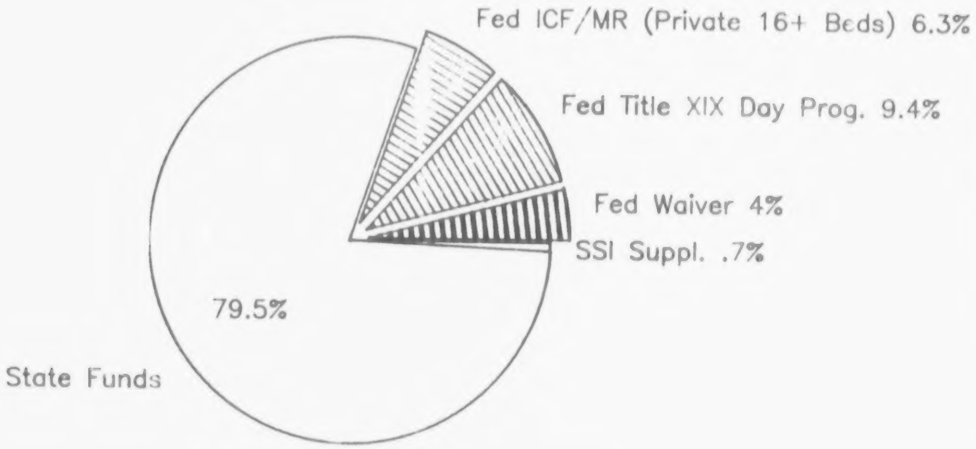
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

DELAWARE

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

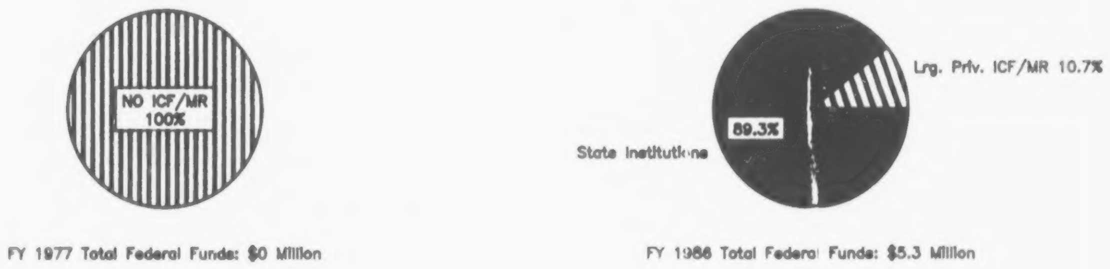


FY 1986 Total Funds: $9.1 Million

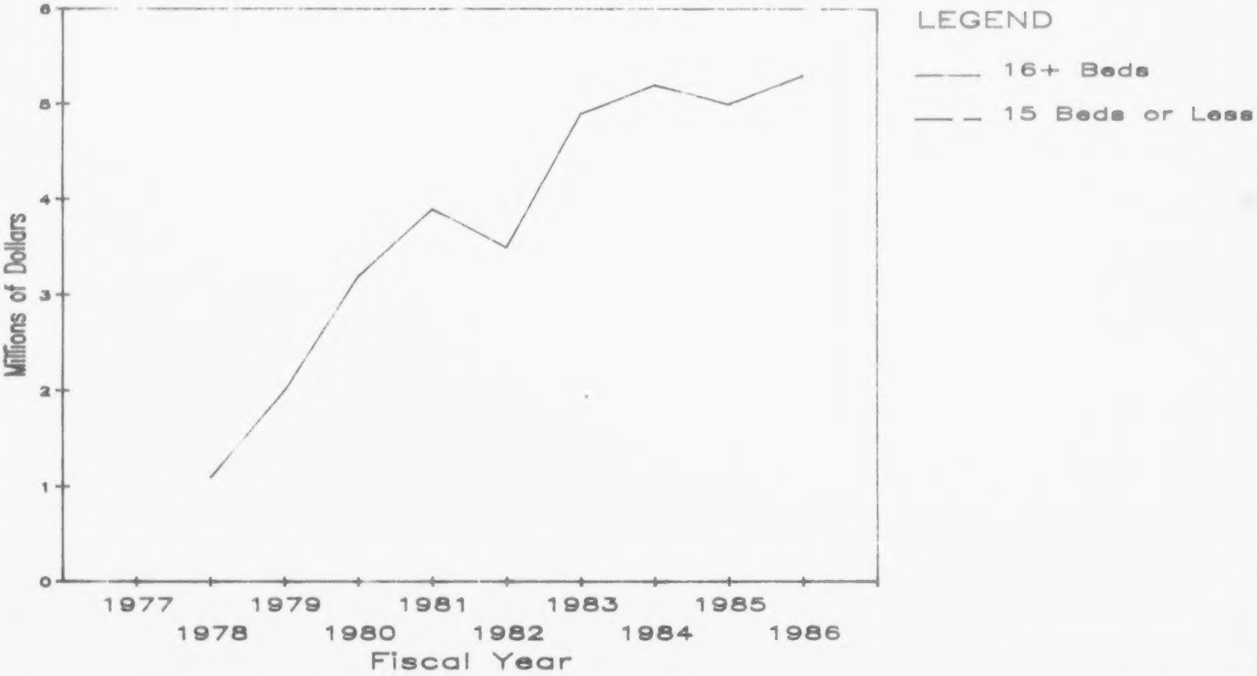
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

DELAWARE

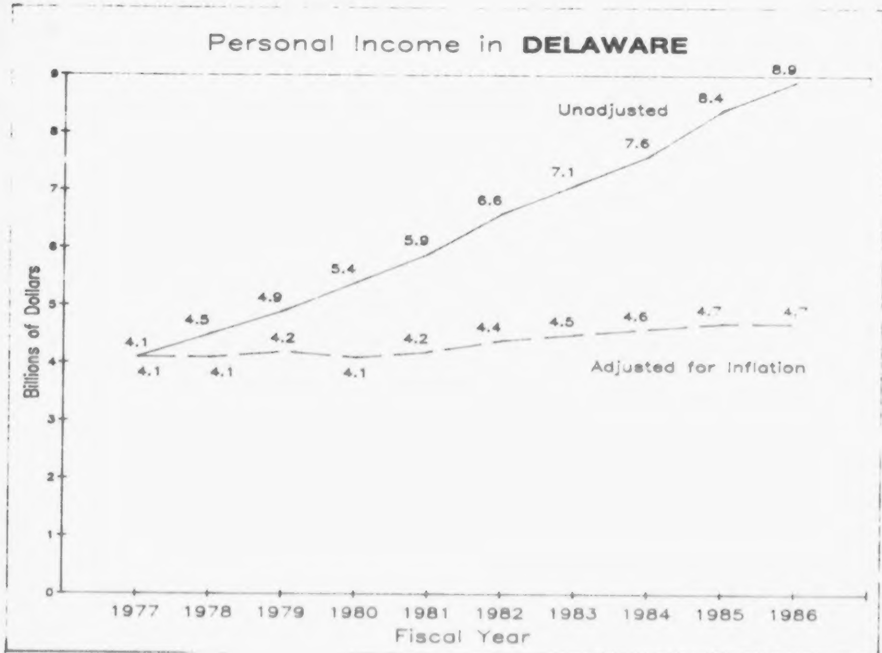
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

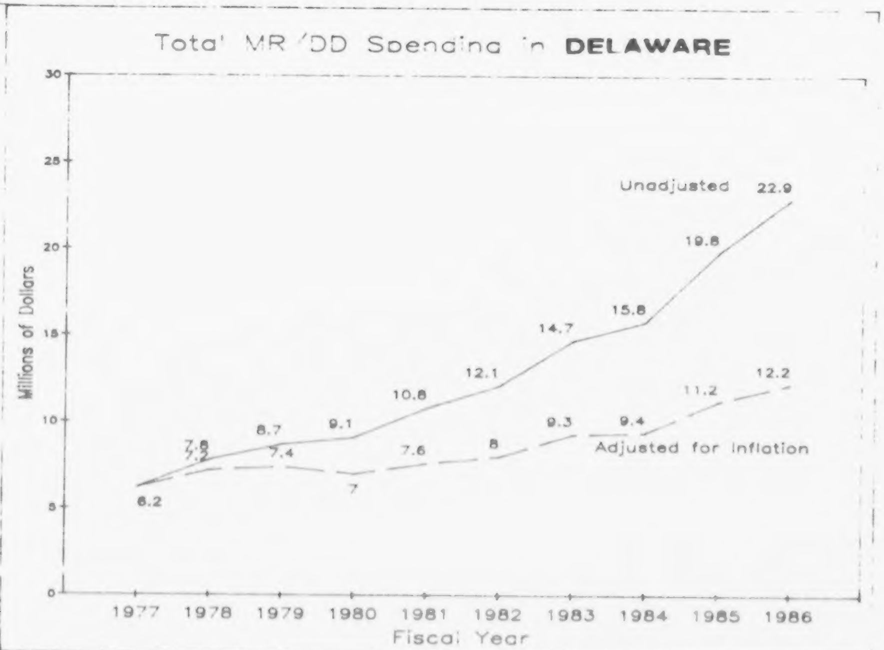


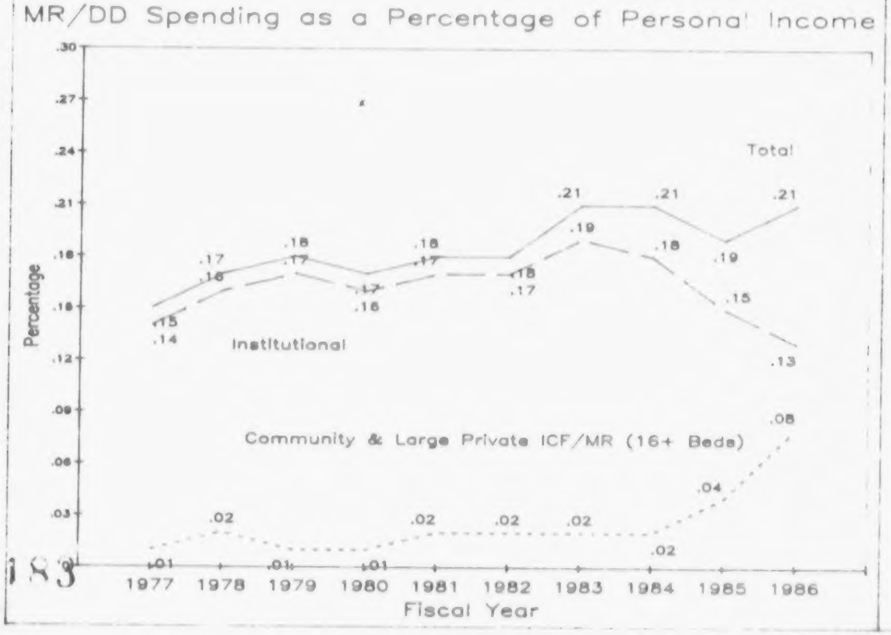
By Facility Size, FY 1977–86

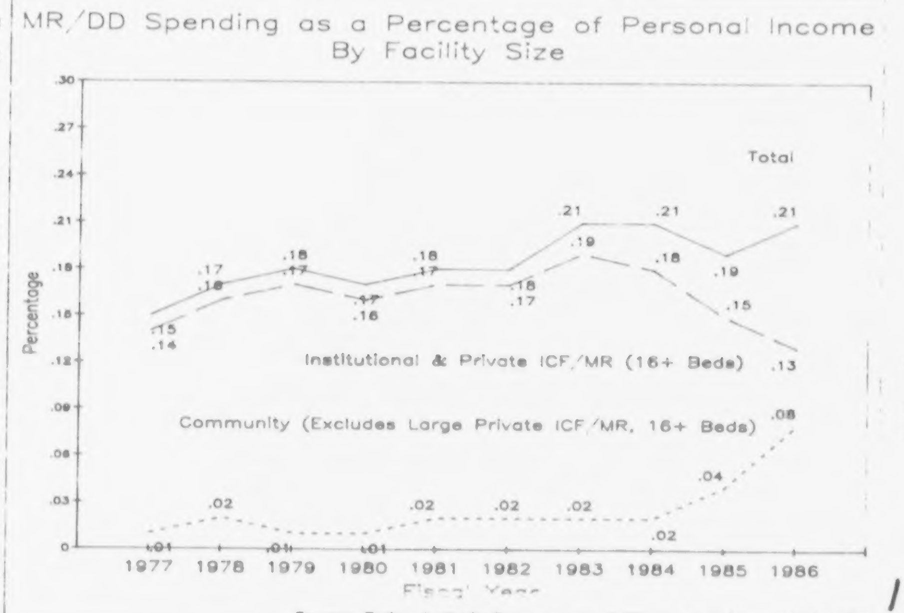


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986


Personal Income in **DELAWARE**


Total MR/DD Spending in **DELAWARE**


MR/DD Spending as a Percentage of Personal Income


MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

DELAWARE 9/4/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	9,394,000	11,403,000	12,899,000	13,799,000	16,596,000	18,450,000	21,866,000	23,531,500	28,735,200	32,015,550
TOTAL INSTITUTIONAL/COMMUNITY	6,158,000	7,752,000	8,721,000	9,097,000	10,768,000	12,067,000	14,748,000	15,791,500	19,811,200	22,917,550
STATE FUNDS	6,063,000	6,661,000	6,634,000	5,835,000	6,861,000	8,568,000	9,686,000	10,403,900	13,723,800	16,361,450
General Funds	5,607,000	5,809,000	5,523,000	5,015,000	5,590,000	7,000,000	9,115,000	8,669,600	11,814,000	14,213,250
SSI State Supplement	51,000	48,000	44,000	43,000	41,000	42,000	40,000	42,000	45,000	64,000
Other State Funds	405,000	804,000	1,067,000	777,000	1,230,000	1,526,000	531,000	1,692,300	1,864,800	2,084,200
FEDERAL FUNDS	95,000	1,091,000	2,087,000	3,262,000	3,907,000	3,499,000	5,062,000	5,387,600	6,087,400	6,556,100
Title XIX Funds	0	1,091,000	2,025,000	3,212,000	3,883,000	3,499,000	5,062,000	5,387,600	6,087,400	6,556,100
Title XX / SSBG Funds	95,000	0	62,000	50,000	24,000	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
INSTITUTIONAL SERVICES FUNDS	5,597,000	7,048,000	8,124,000	8,372,000	9,886,000	11,071,000	13,116,000	13,900,400	14,876,700	13,856,000
STATE FUNDS	5,597,000	5,957,000	6,099,000	5,160,000	6,003,000	7,617,000	8,230,000	8,794,100	10,158,500	9,093,200
General Funds	5,195,000	5,249,000	5,032,000	4,383,000	4,798,000	6,102,000	7,699,000	7,182,300	8,579,600	7,583,200
Other State Funds	402,000	708,000	1,067,000	777,000	1,205,000	1,515,000	531,000	1,611,800	1,578,900	1,510,000
FEDERAL FUNDS	0	1,091,000	2,025,000	3,212,000	3,883,000	3,454,000	4,886,000	5,106,300	4,718,200	4,762,800
Federal ICF/MR	0	1,091,000	2,025,000	3,212,000	3,883,000	3,454,000	4,886,000	5,106,300	4,718,200	4,762,800
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	3,797,000	4,355,000	4,775,000	5,427,000	6,710,000	7,379,000	8,750,000	9,631,100	13,858,500	18,159,550
COMMUNITY SERVICES FUNDS	561,000	704,000	597,000	725,000	882,000	996,000	1,632,000	1,891,100	4,934,500	9,061,550
STATE FUNDS	466,000	704,000	535,000	675,000	858,000	951,000	1,456,000	1,609,800	3,565,300	7,268,250
General Funds	412,000	560,000	491,000	632,000	792,000	898,000	1,416,000	1,487,300	3,234,400	6,630,050
SSI State Supplement	51,000	48,000	44,000	43,000	41,000	42,000	40,000	42,000	45,000	64,000
Other State Funds	3,000	96,000	0	0	25,000	11,000	0	80,500	285,900	574,200
FEDERAL FUNDS	95,000	0	62,000	50,000	24,000	45,000	176,000	281,300	1,369,200	1,793,300
ICF/MR Funds	0	0	0	0	0	0	0	79,900	283,900	574,200
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	0	0	0	0	0	0	0	79,900	283,900	574,200
Other Title XIX Funds	0	0	0	0	0	45,000	176,000	201,400	1,085,300	1,219,100
Title XIX Day Programs	0	0	0	0	0	45,000	176,000	201,400	731,000	852,800
Waiver	0	0	0	0	0	0	0	0	354,300	366,300
Title XX / SSBG Funds	95,000	0	62,000	50,000	24,000	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	3,236,000	3,651,000	4,178,000	4,702,000	5,828,000	6,383,000	7,118,000	7,740,000	8,924,000	9,098,000
Suppl. Security Income (SSI)	1,806,000	2,062,000	2,325,000	2,502,000	3,065,000	3,308,000	3,797,000	4,308,000	4,718,000	5,090,000
Childhood Disability (SSDI)	1,430,000	1,589,000	1,853,000	2,200,000	2,763,000	3,075,000	3,321,000	3,432,000	4,206,000	4,008,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
Daily Institutional Population	534	524	523	519	525	509	490	484	433	395
Institutional Per Diem	28.72	36.85	42.56	44.07	51.59	59.59	73.34	78.47	94.13	96.11

DISTRICT OF COLUMBIA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services in the District of Columbia are under the management of the Administrator of the Mental Retardation and Developmental Disabilities Administration in the Department of Human Services. The MR/DD Administration was formed in February, 1980. Prior to FY 1981, MR/DD services were under the Mental Health Administration.

Budget Format: The MR/DD Administration as it appeared in the 1985 District of Columbia Operating Budget (Supporting Schedule) had the following subdivisions:

MR/DD Administration

- Appropriated Expenditures
- Non-Appropriated Expenditures
  - Federal Funds
  - Private and Other Funds
  - Intra-District Sales

(Same funding source categories listed under each of the following subdivisions.)

Developmental Services Center
Bureau of Community Services
Bureau of Habilitation Services

Note on Data Sources. Due to lack of detail in the budget documents, and in some years, the lack of access to any budget document, expenditure figures for FYs 1981-83 were obtained from George Smith, Deputy Administrator, MR/DD Administration, (p.c., telephone, 8/21/84, 8/22/84). Figures for FYs 1977-80 were obtained from Jose Gounder, Mental Health Administration (p.c., telephone, 8/31/84). FY 1984 (actual), FY 1985 (actual) and FY 1986 (budget) expenditure figures were provided by Carolyn Nicholas, Special Assistant to the Administrator, MR/DD Administration (p.c., telephone, 5/1/86). Federal ICF/MR figures for those same years were obtained from the Office of Health Care Financing (p.c., telephone, Lee Partridge, 4/9/86). The average daily population figures for FYs 1977-83 were obtained from Ms. Campbell, Medical Records, Forest Haven (p.c., 8/29/84,; FYs 1984-86 figures were from C. Nicholas, Special Assistant to the Administrator, MR/DD Administration (p.c., telephone, 5/1/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included expenditures for D.C.'s one institution, Forest Haven, located in Laurel, Maryland, minus the community program staff costs in FY 1978-80 (see discussion below in Section III). The District had been in the process of phasing-down Forest Haven as a result of the Pratt Court Order of 1978, which ordered the cessation of admissions and the outplacing of 100 residents per year into community facilities.

Federal ICF/MR. In the 1985 Operating Budget, the federal share of Title XIX reimbursements was labeled "Non-Appropriated Expenditures--Federal." According to L. Partridge (p.c., telephone, 8/28/84), the reason for the drop in federal ICF/MR payments beginning in FY 1980 was the fact that Forest Haven was found to be out of compliance with federal ICF/MR standards and consequently lost funding. By FY 1983, Forest Haven was back in compliance and receiving increased federal reimbursement for its operations.

Other Federal Funds for FY 1977-84 included "Title I" Education funds. Figures were provided through the office of Dr. Ettyce Moore, Title I Program, Department of Human Services (p.c., telephone, G. Smith, 9/6/84). In FY 1981, three positions were funded at Forest Haven; since FY 1982, there have been only two positions. Exact figures prior to 1981 were not available; estimates of $78,000 were made for each year.

III. COMMUNITY SERVICES FUNDS

Community services included funding for the "Bureau of Community Services" (FY 1981-86) and the "Developmental Services Center" (FY 1977-86). The Developmental Services Center has been operational since 1970, serving from 76 individuals to 97 individuals per year, and with expenditures increasing from $419 thousand in FY 1975 to $1.11 million in FY 1986. This day service was certified in FY 1986 for receipt of Title XIX reimbursements, but no revenue projections were available for this analysis. The Center provided intensive interdisciplinary services to adults who were dually diagnosed emotionally disturbed and mentally retarded.

The Bureau of Community Services provided residential and day programs for residents who moved from Forest Haven, as well as for other District residents with mental retardation/developmental disabilities..

District Funds were labeled "Appropriated Expenditures" in the budget. According to Smith (p.c., 9/6/84), the Bureau of Community Services and the Developmental Services Center were funded exclusively by District Funds (except for a small amount of ESEA Chapter I Federal funds at the DSC).

An estimated portion of the Forest Haven budget in FY 1978-80 was included with community services expenditures. When the Pratt Court Order was delivered in 1978, there were virtually no MR/DD community residential programs. In order to accommodate the Pratt Order, a number of staff at Forest Haven were assigned to developing community placements for Forest Haven residents who were scheduled to be moved. In FY 1980, the Bureau of Community Services was formed and these staff positions were formally moved out of Forest Haven. George Smith (p.c., 8/28/84) estimated 3-4 staff at Forest Haven were involved in community activities during part of FY 1978 and several more in the following years. Smith estimated expenditures for these activities at the following levels:

FY 1978 - $ 50 thousand
FY 1979 - 150 thousand
FY 1980 - 350 thousand

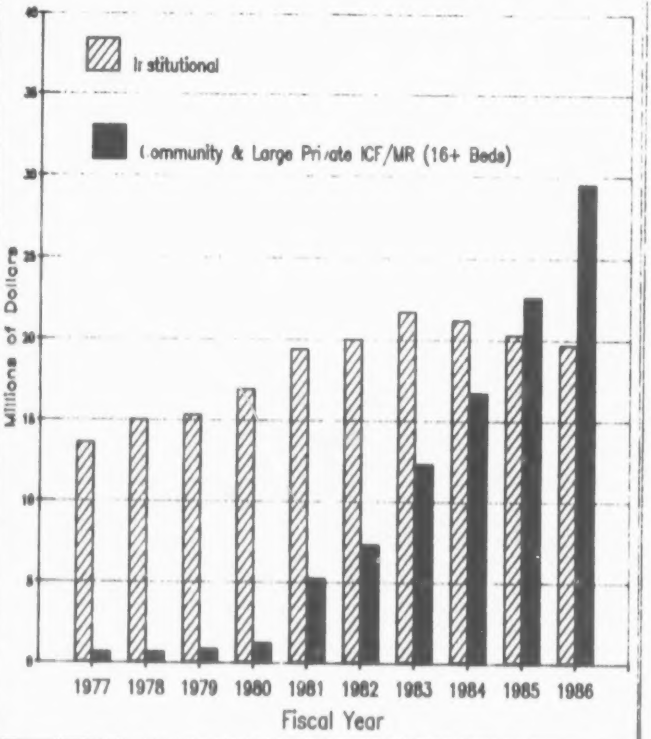
These amounts (all District funds) were subtracted from Forest Haven expenditures and assigned to community services expenditures for those years.

Private ICF/MR Small. All community-based, Title XIX funded residential services in the District were contracted to, and provided by, private agencies. Expenditures for FY 1983-85 (actual) were provided in the 4/9/86 personal communication with the Office of Health Care Financing. The FY 1986 figure was based on projection of 6 months of expenditures, and an additional $250.0 thousand for five new facilities which were opening. There were seven facilities in FY 1983 and 46 in FY 1986, with a total of 242 individuals served in FY 1986 (average, 5.3 beds per facility).

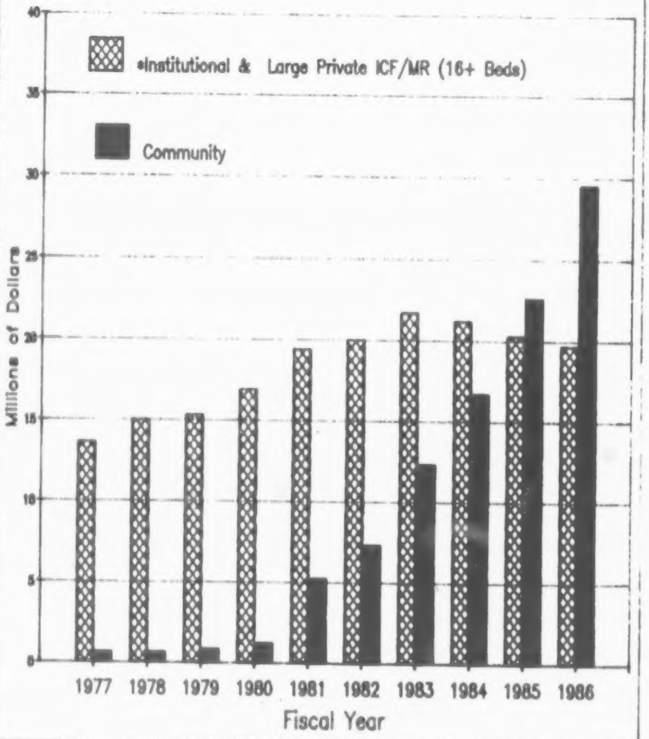
Federal Title XX/SSBG. None of the District Title XX/Social Services funds were used for DD client services (p.c., telephone, G. Smith, 8/22/84).

Other Federal Funds for FY 1977-86 were estimates of Title I/Chapter I education funds going to the Developmental Services Center. Exact figures were not available, and George Smith (p.c., telephone, 9/6/84) suggested we estimate $15,000 each year.

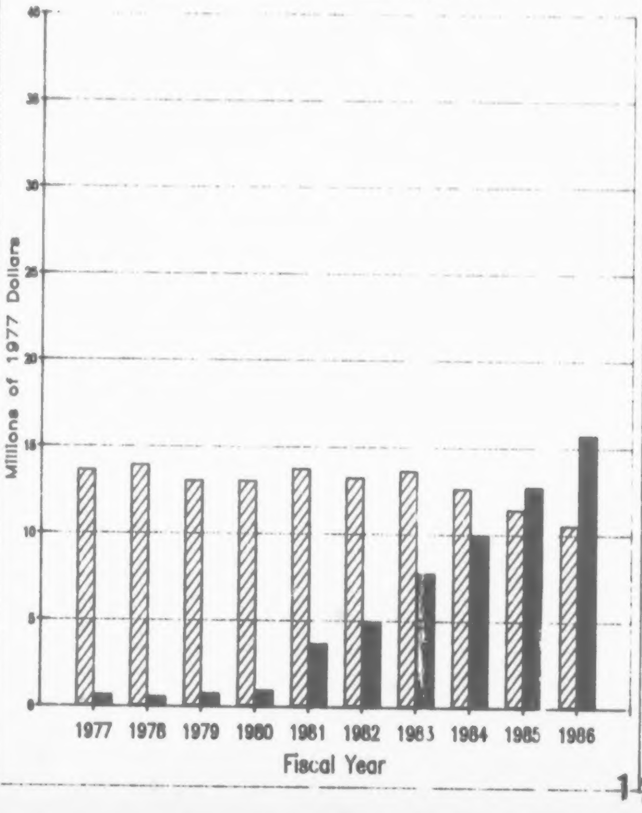
MR/DD Expenditures for *Institutional* & *Community* Services



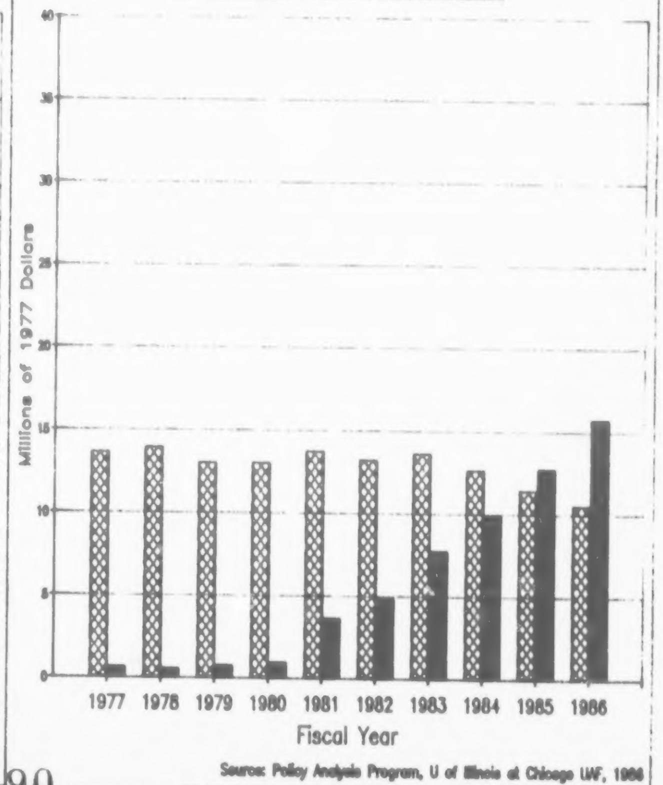
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



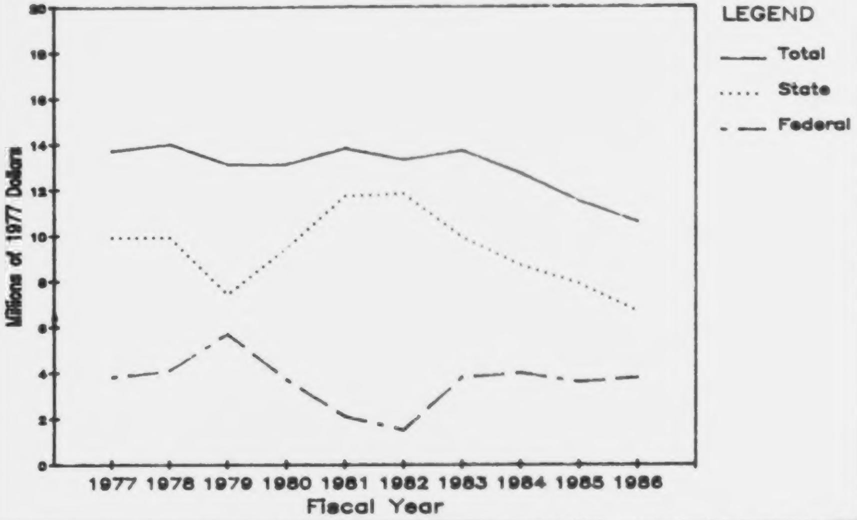
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

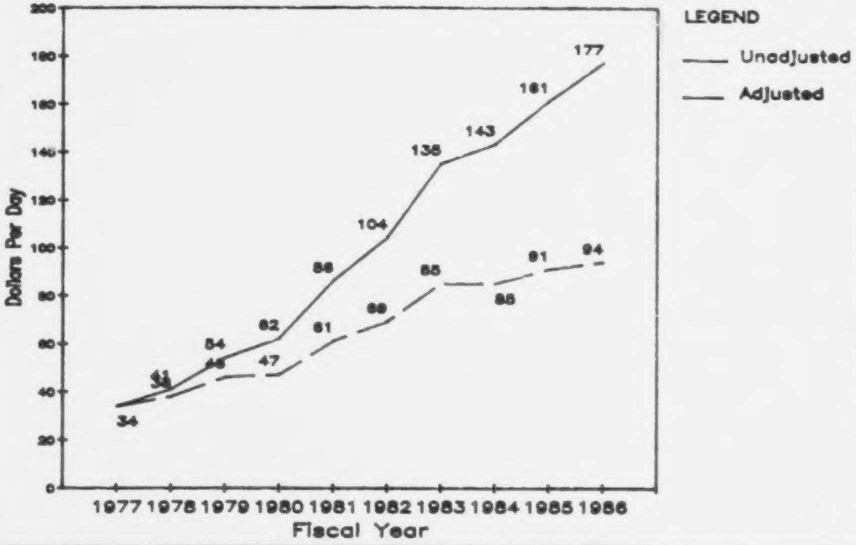
DISTRICT OF COLUMBIA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

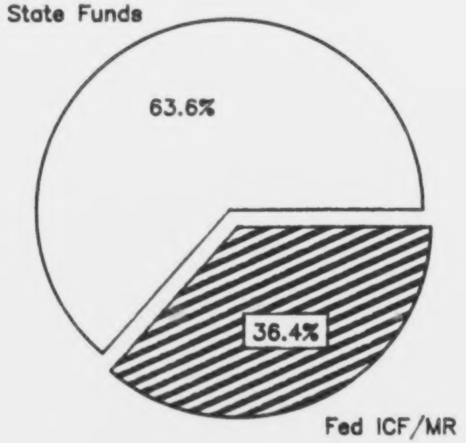


DISTRICT OF COLUMBIA

Institutional Per Diem Costs: FY 1977–86

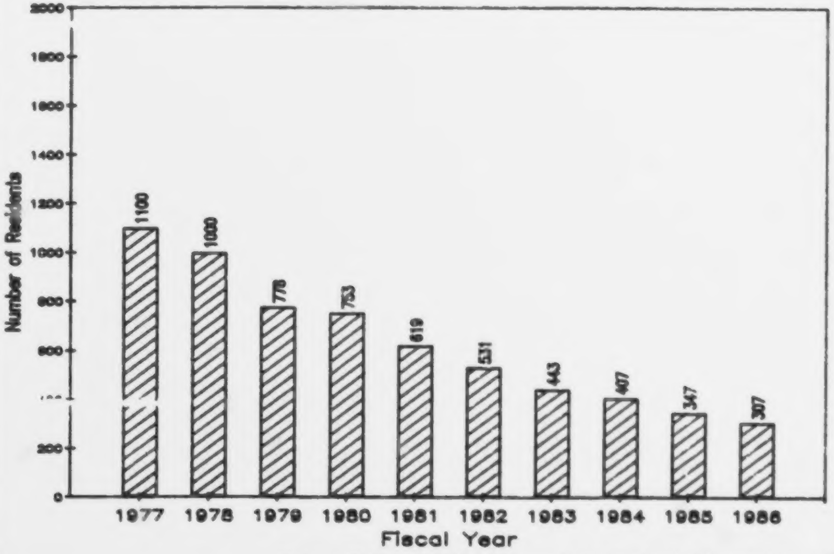


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $19.8 Million

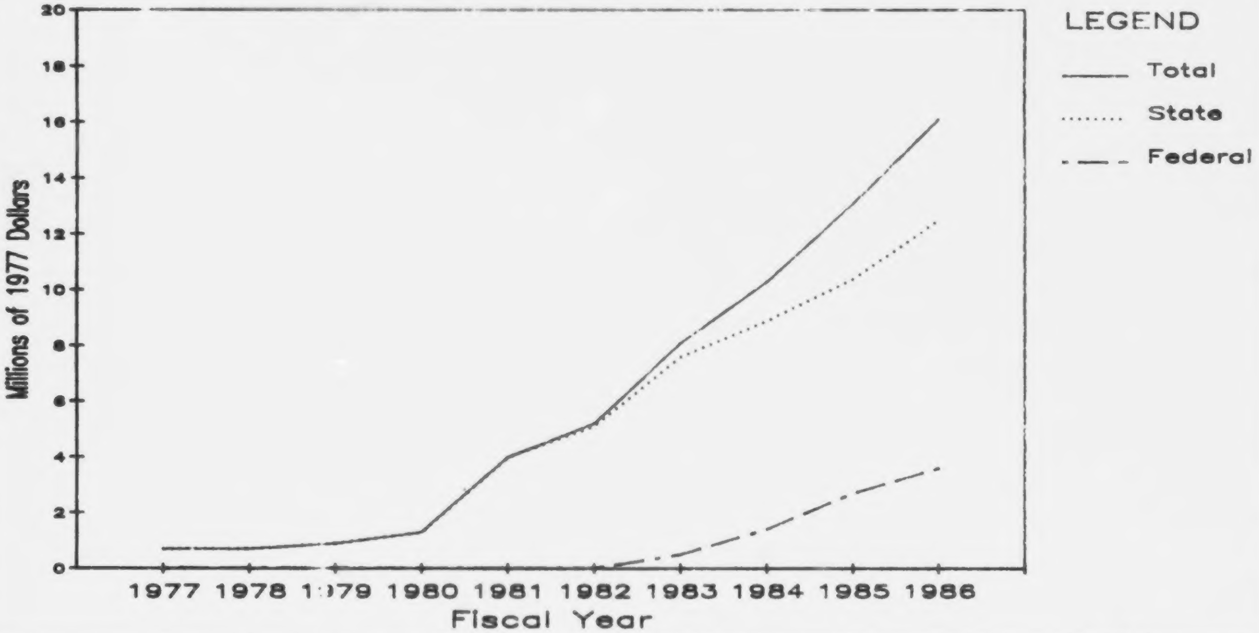
Average Daily Residents in Institutions



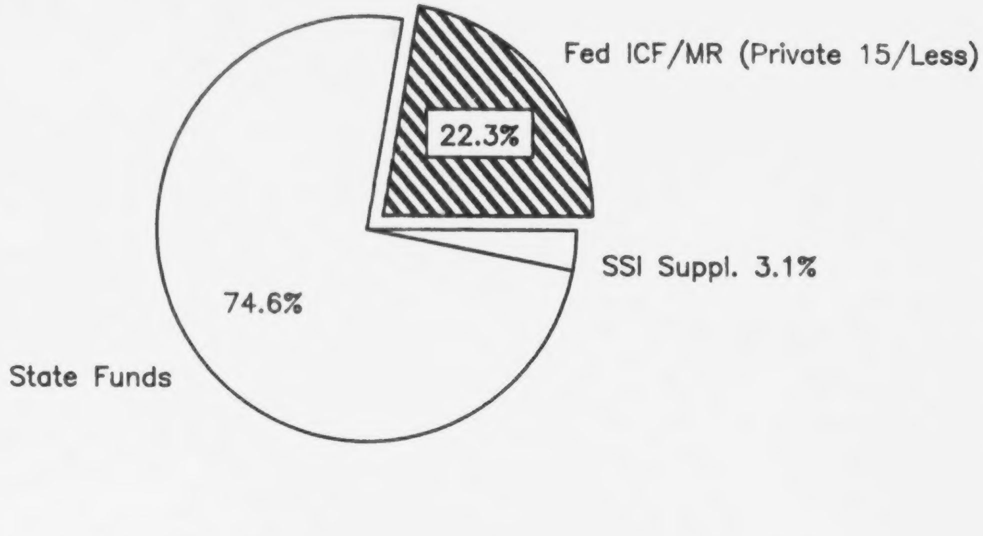
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

DISTRICT OF COLUMBIA

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

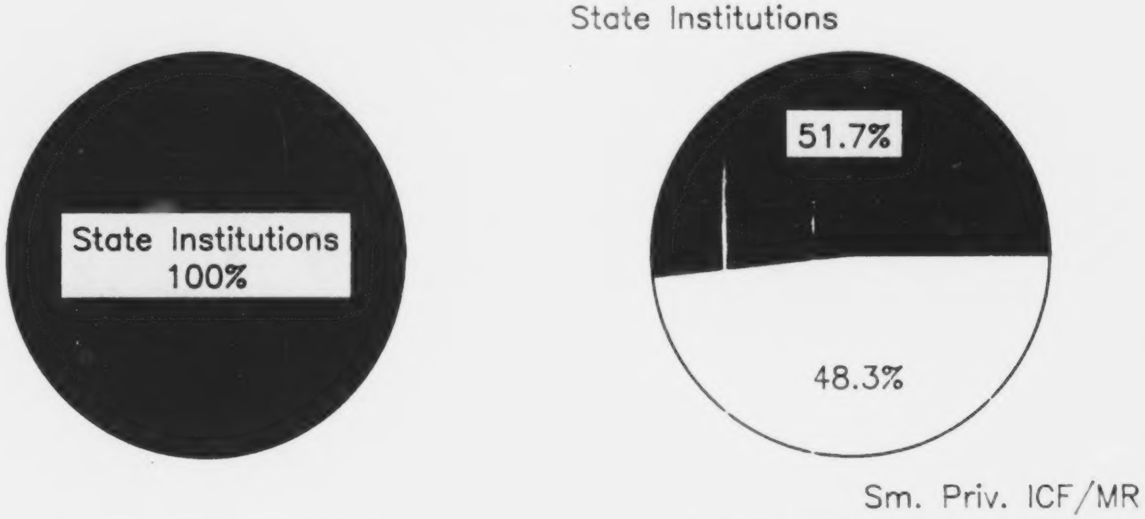


FY 1986 Total Funds: $30.2 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

DISTRICT OF COLUMBIA

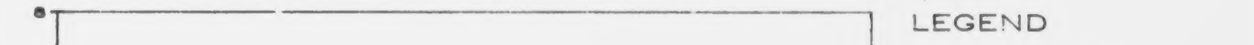
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $3.8 Million

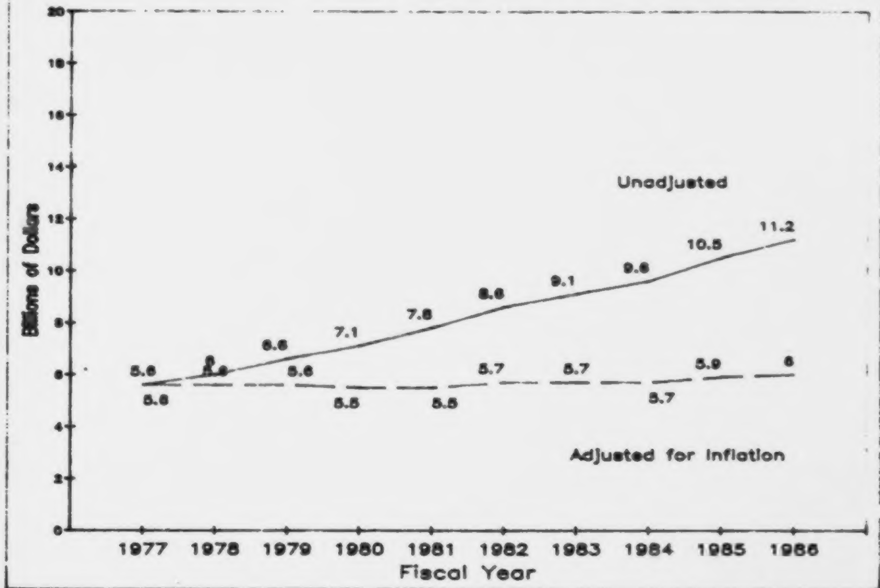
FY 1986 Total Federal Funds: $13.9 Million

By Facility Size, FY 1977–86

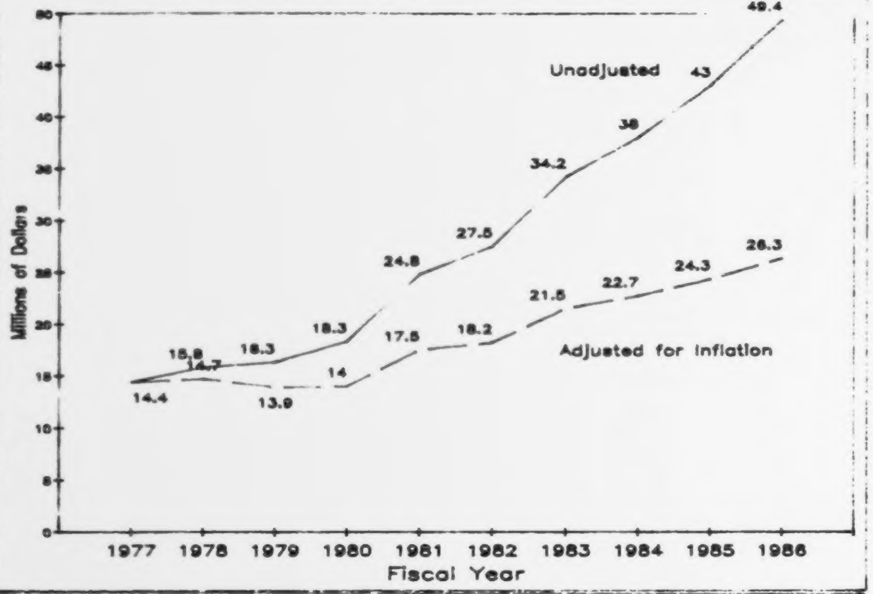


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

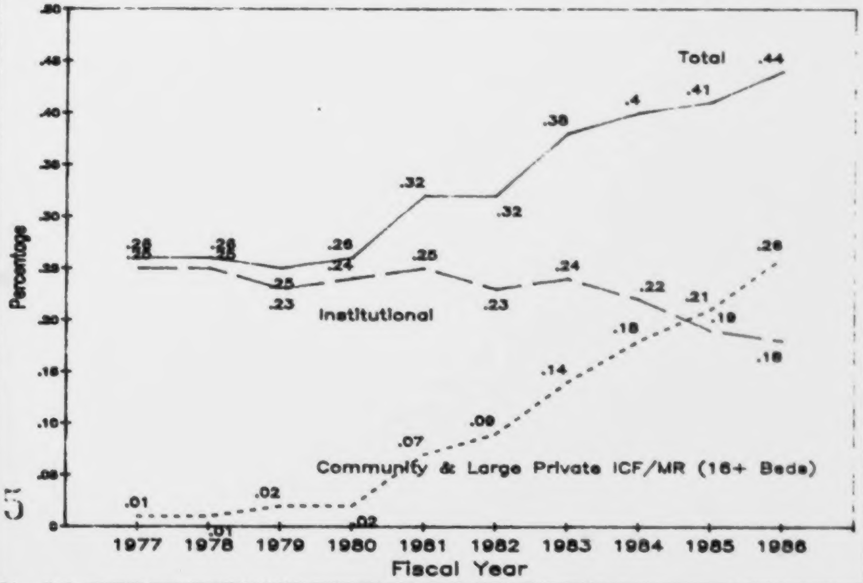
Personal Income in **DISTRICT OF COLUMBIA**



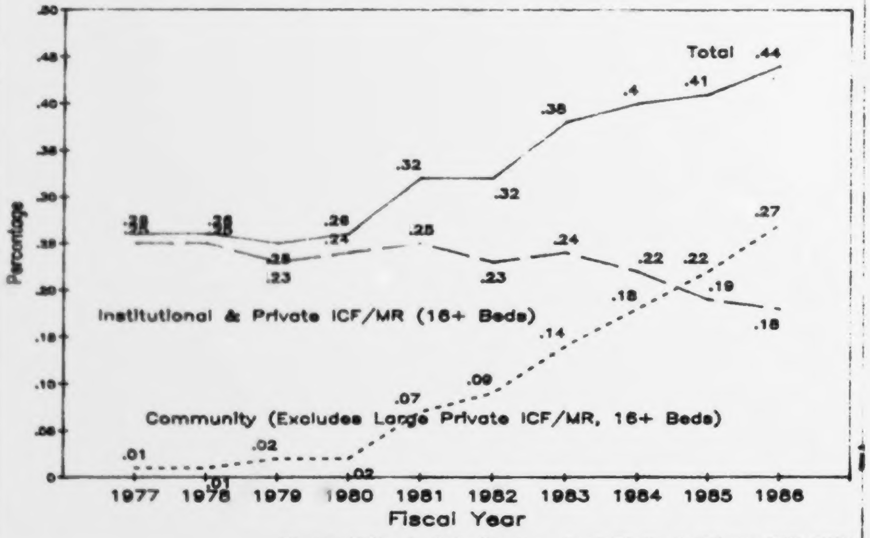
Total MR/DD Spending in **DISTRICT OF COLUMBIA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

DISTRICT OF COLUMBIA 4/30/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	18,552,000	20,235,000	21,103,000	23,722,000	31,162,000	34,669,000	41,858,300	46,282,000	53,809,000	58,910,000
TOTAL INSTITUTIONAL/COMMUNITY	14,418,000	15,772,000	16,256,000	18,293,000	24,754,000	27,486,000	34,159,300	38,010,000	43,034,000	49,431,000
STATE FUNDS	10,570,000	11,316,000	9,558,000	13,460,000	21,832,000	25,236,000	27,343,800	28,980,700	31,994,500	35,508,000
General Funds	10,530,000	11,255,000	9,378,000	13,104,000	21,479,000	24,882,000	26,966,800	28,594,700	31,586,500	35,123,000
SSI State Supplement	40,000	61,000	180,000	356,000	353,000	354,000	377,000	386,000	408,000	385,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	3,848,000	4,456,000	6,698,000	4,833,000	2,922,000	2,250,000	6,815,500	9,029,300	11,039,500	13,923,000
Title XIX Funds	3,760,000	4,368,000	6,610,000	4,745,000	2,852,000	2,205,000	6,770,500	9,014,300	11,039,500	13,923,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	88,000	88,000	88,000	88,000	70,000	45,000	45,000	15,000	0	0
INSTITUTIONAL SERVICES FUNDS	13,733,000	15,084,000	15,354,000	17,015,000	19,496,000	20,102,000	21,761,000	21,257,000	20,361,000	19,796,000
STATE FUNDS	9,895,000	10,638,000	8,666,000	12,192,000	16,589,000	17,867,000	15,771,000	14,537,600	14,059,500	12,596,000
General Funds	9,895,000	10,638,000	8,666,000	12,192,000	16,589,000	17,867,000	15,771,000	14,537,600	14,059,500	12,596,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	3,838,000	4,446,000	6,688,000	4,823,000	2,907,000	2,235,000	5,990,000	6,719,400	6,301,500	7,200,000
Federal ICF/MR	3,760,000	4,368,000	6,610,000	4,745,000	2,852,000	2,205,000	5,960,000	6,719,400	6,301,500	7,200,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	78,000	78,000	78,000	78,000	55,000	30,000	30,000	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	4,819,000	5,151,000	5,749,000	6,707,000	11,666,000	14,567,000	20,097,300	25,025,000	33,448,000	39,114,000
COMMUNITY SERVICES FUNDS	685,000	688,000	902,000	1,278,000	5,258,000	7,384,000	12,398,300	16,753,000	22,673,000	29,635,000
STATE FUNDS	675,000	678,000	892,000	1,268,000	5,243,000	7,369,000	11,572,800	14,443,100	17,935,000	22,912,000
General Funds	635,000	617,000	712,000	912,000	4,890,000	7,015,000	11,195,800	14,057,100	17,527,000	22,527,000
SSI State Supplement	40,000	61,000	180,000	356,000	353,000	354,000	377,000	386,000	408,000	385,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	10,000	10,000	10,000	10,000	15,000	15,000	825,500	2,309,900	4,738,000	6,723,000
ICF/MR Funds	0	0	0	0	0	0	810,500	2,294,900	4,738,000	6,723,000
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	810,500	2,294,900	4,738,000	6,723,000
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	10,000	10,000	10,000	10,000	15,000	15,000	15,000	15,000	0	0
FEDERAL INCOME MAINTENANCE	4,134,000	4,463,000	4,847,000	5,429,000	6,408,000	7,183,000	7,699,000	8,272,000	10,775,000	9,479,000
Suppl. Security Income (SSI)	3,300,000	3,536,000	3,766,000	4,145,000	4,796,000	5,389,000	5,762,000	6,270,000	6,985,000	7,141,000
Childhood Disability (SSDI)	834,000	927,000	1,081,000	1,284,000	1,612,000	1,794,000	1,937,000	2,002,000	3,790,000	2,338,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	49.00%	48.00%	50.00%	50.00%
Daily Institutional Population	1,100	1,000	778	753	619	531	443	407	347	307
Institutional Per Diem	34.20	41.33	54.07	61.74	86.29	103.72	134.58	142.70	160.76	176.66

FLORIDA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Community and institutional services for developmentally disabled persons in Florida are administered by the Developmental Services Program Office which is located in the Department of Health and Rehabilitative Services.

Budget Format. The Florida MR/DD budget format remained fairly consistent during the analysis. In FY 1977, the budget is presented in the following format:

Retardation Services

Salaries and Benefits
Other Personal Services
Expenses
Operating Capital Outlay
Food Products
Start-up Funds Group Homes
Grants and Aids
Special Categories-Purchased Client Services
Special Categories-Purchased Client Services Epilepsy
Special Categories-Purchased Client Services Cerebral Palsy
Special Categories-Developmental Training Services
Special Categories-Community Residential Services
Special Categories-ICF/MR (Community)

Retardation--Institutions

Salaries and Benefits
Other Personal Services
Expenses
Operating Capital Outlay
Food Products

In subsequent budgets, additional program lines were added. The FY 1979-81 Biennial Budget had, in addition to the categories in the prior year's budget, the following program lines:

Retardation Services

Florida Special Olympics
Community Facilities Renovation
Lump Sum Replacement Facilities
Start-up Funds: ICF/MR
Community Residential Training
Contract Casework Services
Purchased Client Services-Autism
Independent Family Living

Developmental Disabilities
Involuntary Admissions Hearings
Retardation-Institutions

Grants and Aids
Special Categories: Purchased Client Services Community Developmental Cluster

In the FY 1981-83, FY 1983-85, and FY 1985-87 Biennial Budgets, the program office name was changed from Retardation to Developmental Services. The only new budget lines added were:

Aid to Local Governments-Community Retardation services (under Developmental Services)

Special Categories:
- Client Work Program (under Developmental Services Institutions).
- Ext. Employment/Dev. Disabled (under Developmental Services in the FY 1985-87 budget)
- Group Homes-Temporary Loan (under Developmental Service in the FY 1985-87 budget)
- PCS-Spina Bifida (under Developmental Services in the FY 1985-87 budget)
- Purchased Refugee Services (under Developmental Services in the FY 1985-87 budget)
- G/A-Aggress. Cont. Tech. (under Developmental Services Institutions in the FY 1985-87 budget)

Lump Sum Community Client Services (under Developmental Services in the FY 1985-87 budget).

Each of the program lines in the budget (i.e. Salaries and Benefits, Other Personal Services, Expenses, etc.) had the following funding source breakdowns:

General Revenue Fund
Grants and Donation Trust Fund
Operation and Maintenance Trust Fund
Federal Aid Trust Fund ("Social Svcs Blk Grt Trust Fund" in the FY 1985-87 budget).

The "Grants and Donations Trust Fund" was a general category for small federal programs and project grants. In this analysis, the funds in this category were relabeled Other Federal Funds. The "Operations and Maintenance Trust Fund" as it pertained to the Developmental Services Program consisted of Title XIX funds. The "Federal Aid Trust Fund" also contained Title XX funds.

Note on Data Sources. Florida converted from an annual to a biennial budget in the FY 1979-81 biennium. Expenditure figures were obtained from the following Governor's Executive Budget documents:

FY 1977-78 Annual Budget - revised estimates for FY 1977.
FY 1979-81 Biennial Budget - FY 1978 actual, and FY 1979 revised.
FY 1981-83 Biennial Budget - FY 1980 actual, and FY 1981 revised.
FY 1983-85 Biennial Budget - FY 1983 adjusted estimate.
FY 1985-87 Biennial Budget - FY 1984 actual, FY 1985 adjusted estimate, and FY 1986 Agency Request.

FY 1983 figures were updated to "expenditures" by Frank Morgan, Grants Services Administrator, Developmental Services Program Office (p.c., telephone, 9/13/83). FY 1982 actual expenditures also were provided by Morgan's office (p.c., telephone, Mary Dozier, 10/21/83).

Census data for FY 1977-82 were from budget documents; FY 1983 data were from Frank Morgan (p.c., telephone, 8/14/84); FYs 1984-86 figures were from Marcia Hengehold, Program Specialist, Developmental Services Program Office (p.c., telephone, 3/25/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services from FY 1977-83 consisted of six Sunland Centers located in Tallahassee, Marianna, Gainesville, Fort Myers, Miami and Orlando. Two Sunland centers have since closed: Tallahassee (12/83) and Orlando (3/85). Also included in institutional services expenditures were two secure facilities for mentally retarded defendants/offenders at Chattahoochee. During the last ten years, the populations at the Sunland Centers have been reduced 52%.

State General Funds. The expenditures recorded under each of the many program lines in the budget that were identified as being made from the General Revenue Fund were summed each year to arrive at the figures recorded in the State General Fund line of our analysis. The state share of Title XIX, ICF/MR expenditures was included in the General Fund.

Federal ICF/MR was labeled in the budget documents as "Operations and Maintenance Trust Fund."

Federal Title XX/SSBG. Title XX was labeled "Federal Aid Trust Funds" in the Florida budget from FY 1977-84, and "Social Services Block Grant" in the FY 1985-87 budget. The state matching funds were in the General Fund line. These funds were used to provide day programming to institutional residents on institutional grounds, according to Margaret Hargrove, head of the Title XX program in the Developmental Services Division (p.c., telephone, 11/4/83). Florida started using Title XX for these services in FY 1974 and discontinued use in FY 1982, primarily because other funding, namely Title XIX, was in sufficient quantity to support the programs. "Directors of Programs and Services," who were supported by Title XX at the Sunland Centers reported directly to the DHRS District Office Administrators, who were in charge of all community based services operations. Although housed at the Sunland Centers, these Title XX Directors did not report to the Superintendents of the institutions.

Title XX funds were again employed in FYs 1984-85 to aid in the phasedown of the Tallahassee and Orlando Sun Centers.

Other Federal Funds. Other federal funds were labeled "Grants and Donations Trust Funds" in the Budget and included, primarily, small federal programs and project grants.

III. COMMUNITY SERVICES FUNDS

Community services included funding for the eleven District offices which administered community-based services, as well as the community day and residential programs. A notable element in Florida's community-based services network was the cluster home alternative, which were ICF/MR funded "clusters" in residential neighborhoods. Each cluster was comprised of 3 homes of 8-beds each. In FY 1986 there were 26 community-based clusters.

State general funds were taken from the "General Revenue Fund" line under Developmental Services. Added to this amount in FYs 1984-86 were funds from the Special Categories ICF-MR Revolving Trust Fund. These were monies appropriated from the state's general fund to assist the cash flow of newly developed ICF/MRs (p.c., telephone, Sarah Cane, Grants Specialist, 3/20/86).

Private ICF/MR. According to Bill Wendt, ICF/MR coordinator (p.c., telephone, 4/4/86), there were 22 "large" and 3 "small" ICF/MRs in FY 1986, in addition to the 26 clusters, which were classified as "small" facilities in this analysis. While 25 of the 26 clusters were state-owned, all were operated by private vendors. Therefore, all Florida ICF/MR expenditures were defined as "private." The expenditures for the program (i.e. the contractual payments to the vendors) were displayed in the budget of the Developmental Services Program; none of the homes were funded directly by the Medicaid agency.

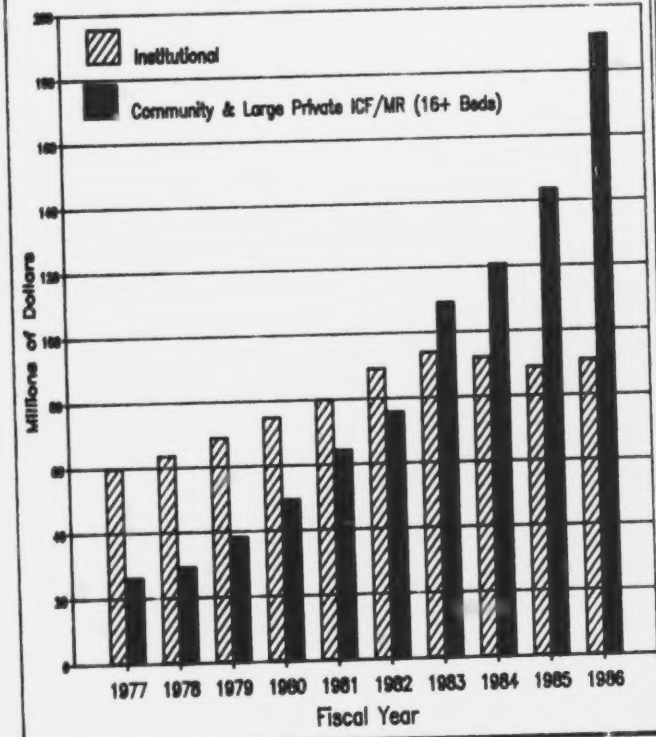
Funding estimates for the Private ICF/MR Small category were obtained from the buget line, "Cluster Medicaid Collections," and expenditures for FY 1986 were estimated (p.c., telephone, Bill Wendt, 4/4/86). Funding for large private ICFs/MR was estimated by deducting Wendt's estimate of the federal share for the three small facilities from the budget line, "Medicaid MAP."

Waiver funds became available in FY 1984. Funding estimates were taken from the "Medicaid Waiver Transfer" line under Schedule I of the budget.

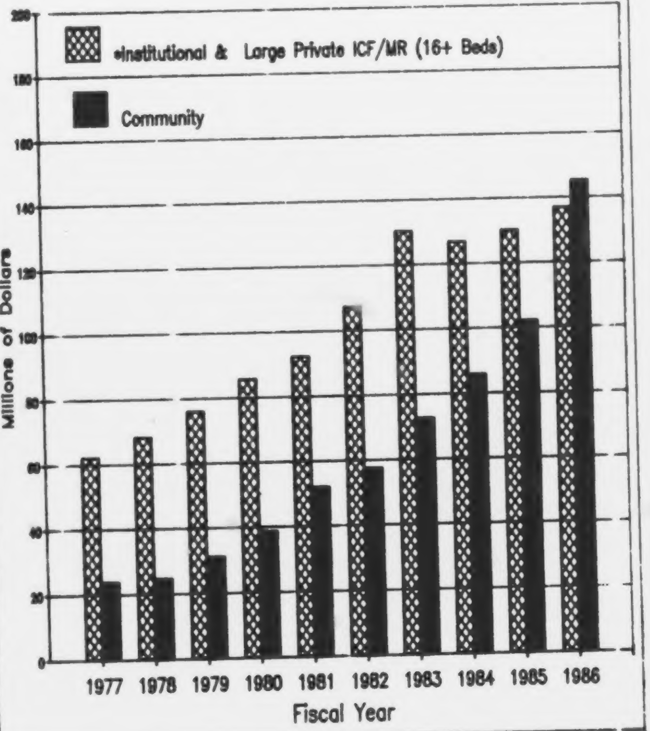
Federal Title XX/SSBG funds were taken from the "Federal Aid Trust Fund" and "Social Services Block Grant Trust Fund" (in the FY 1985-87 budget) lines of the Developmental Services budget summary.

Other federal funds was the "Grants and Donations Trust Fund" in the Developmental Services budget summary.

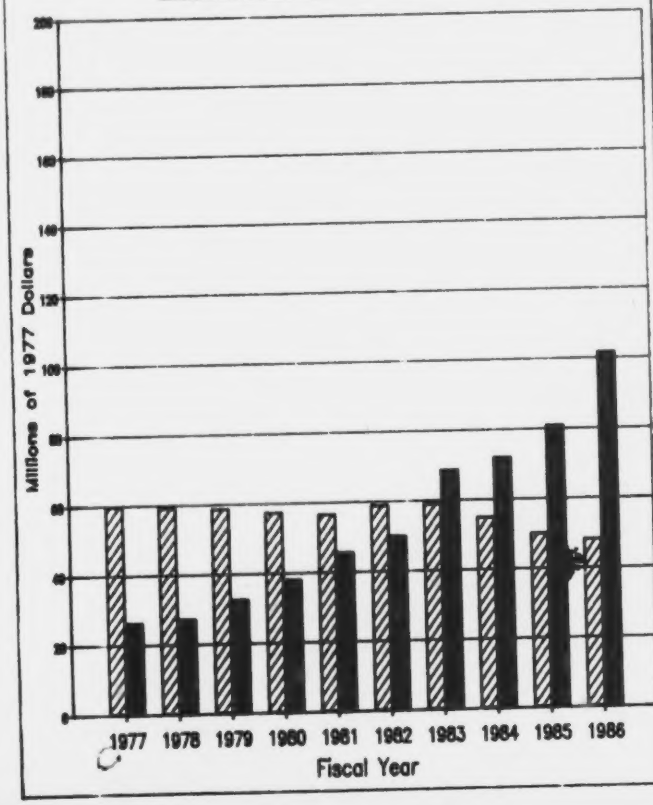
MR/DD Expenditures for *Institutional* & *Community* Services



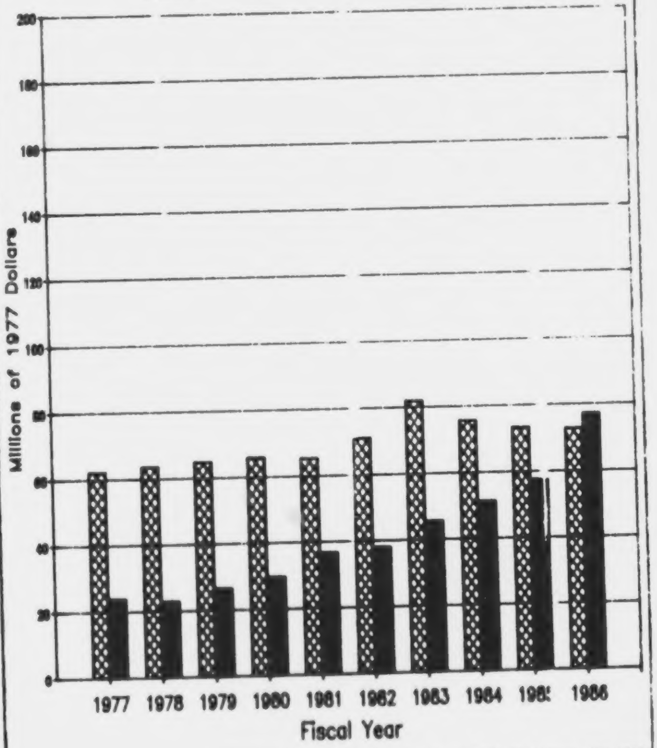
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



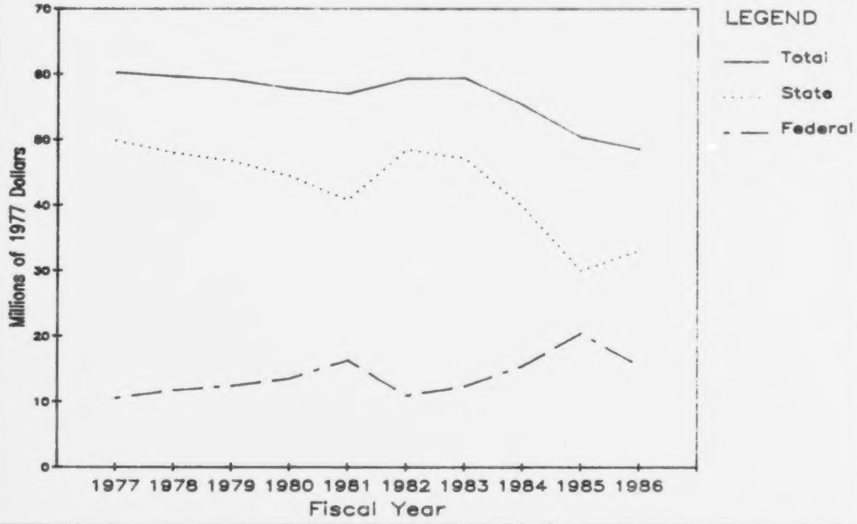
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

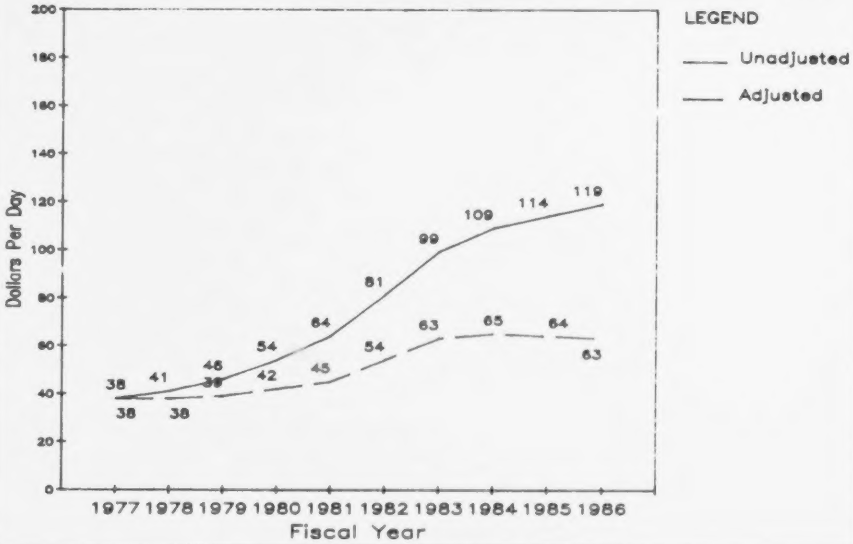
FLORIDA

Institutional **Spending in Real Economic Terms By Level of Government: FY 1977–86**

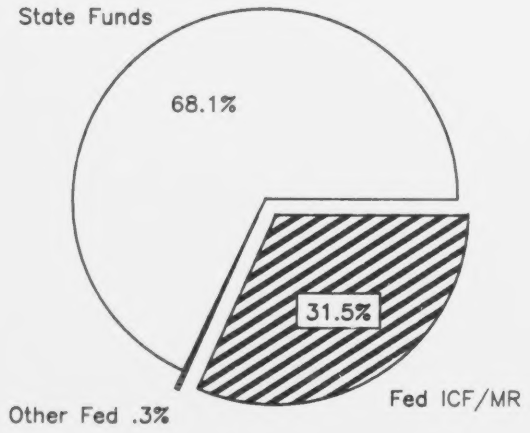


FLORIDA

Institutional Per Diem Costs: FY 1977–86

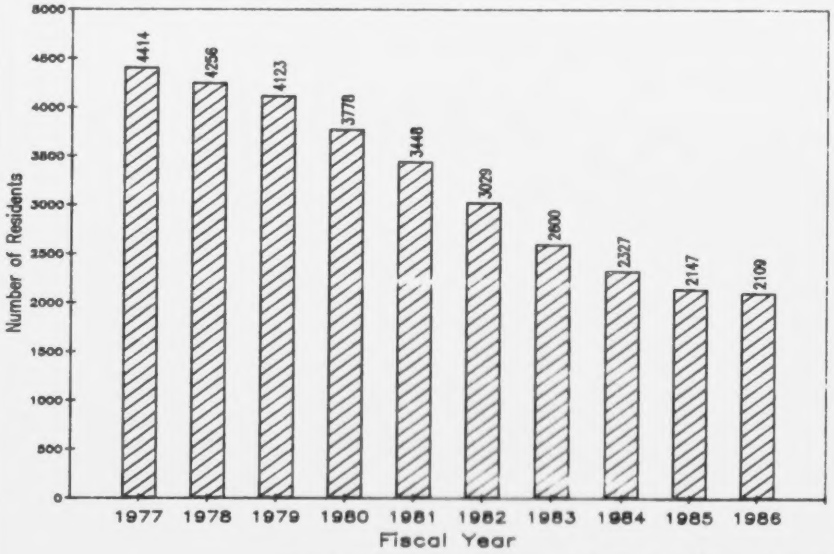


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $91.2 Million

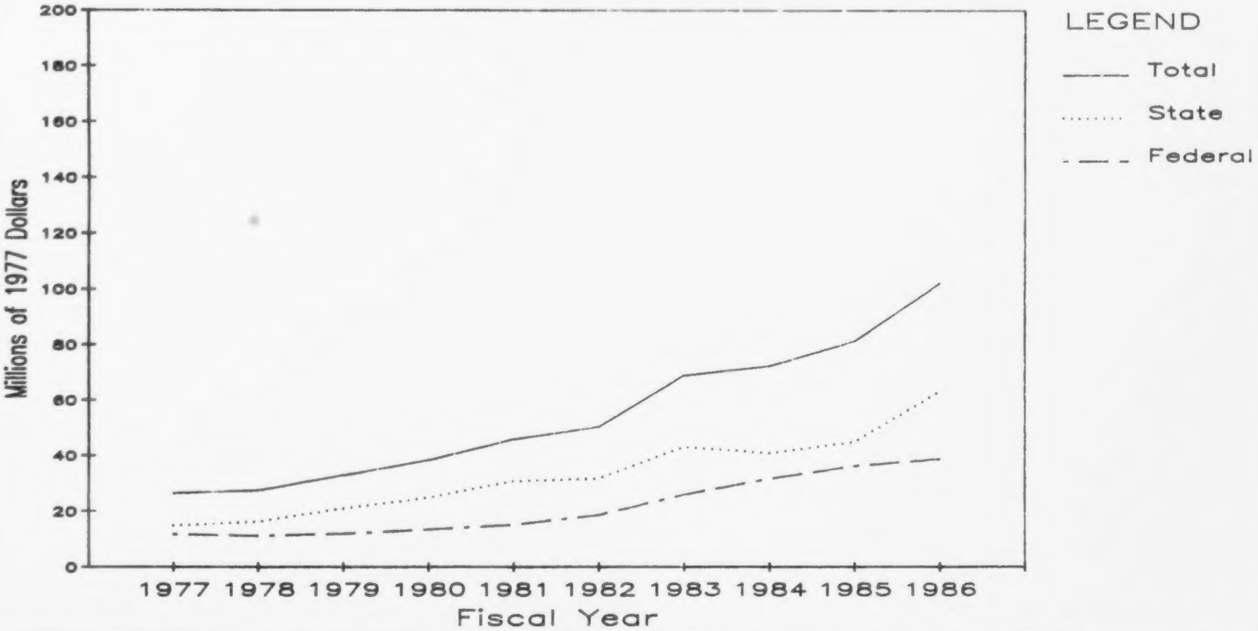
Average Daily Residents in Institutions



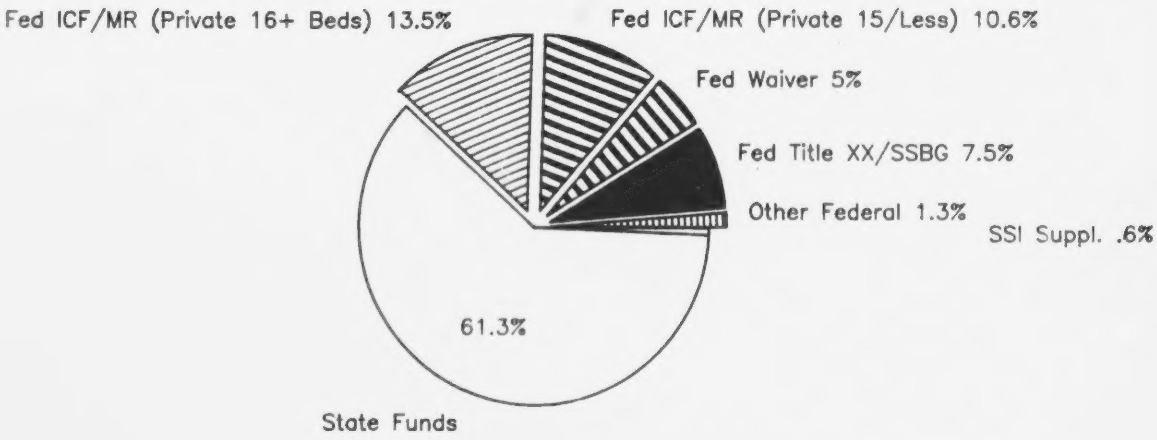
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

FLORIDA

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

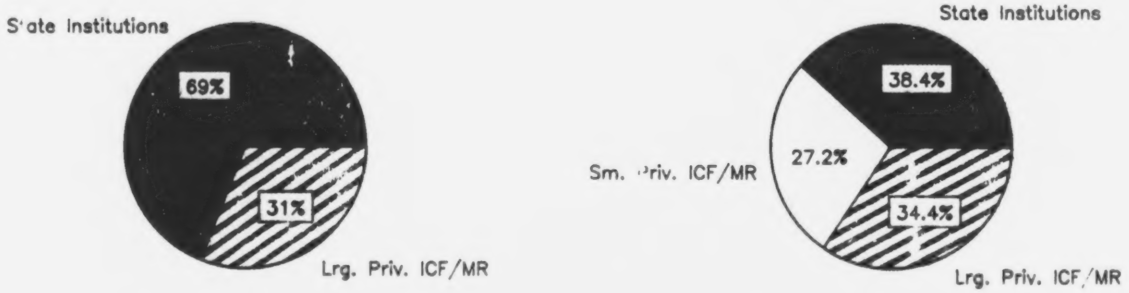


FY 1986 Total Funds: $191.6 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

FLORIDA

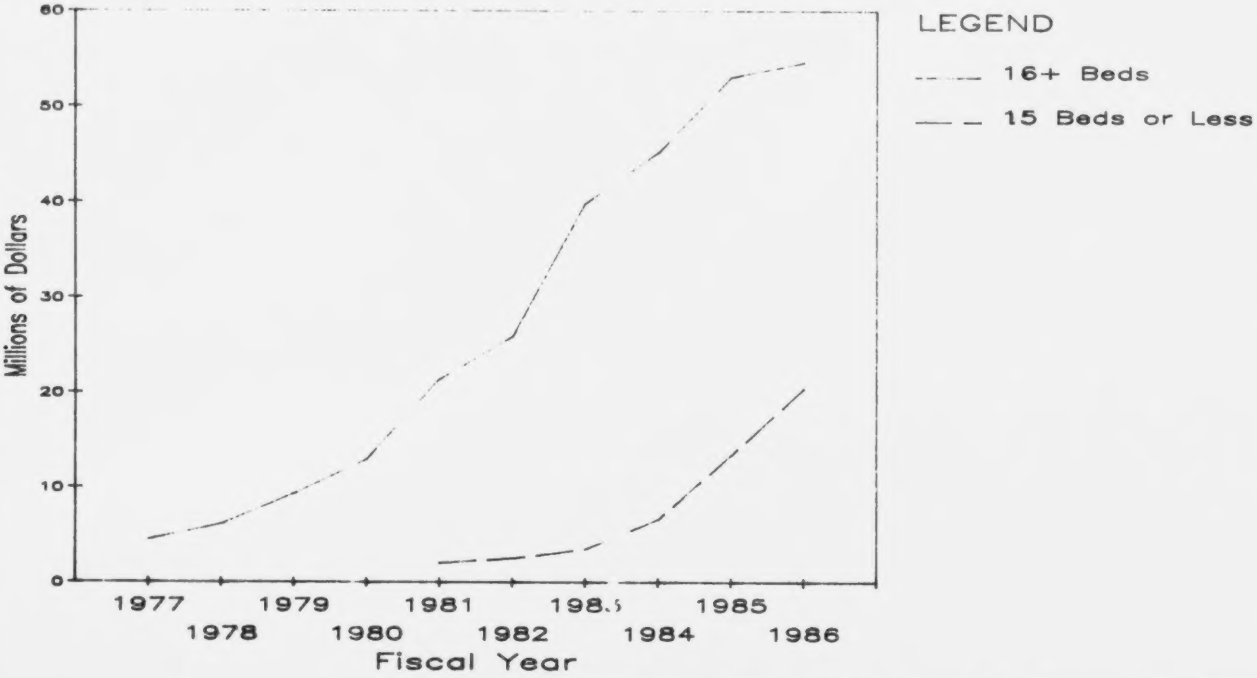
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



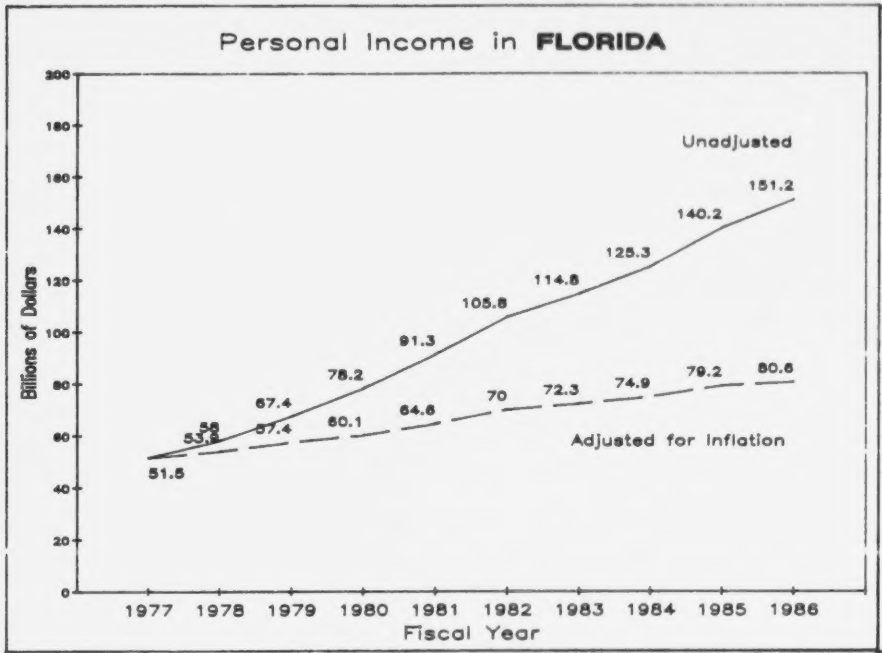
FY 1977 Total Federal Funds: $4.5 Million

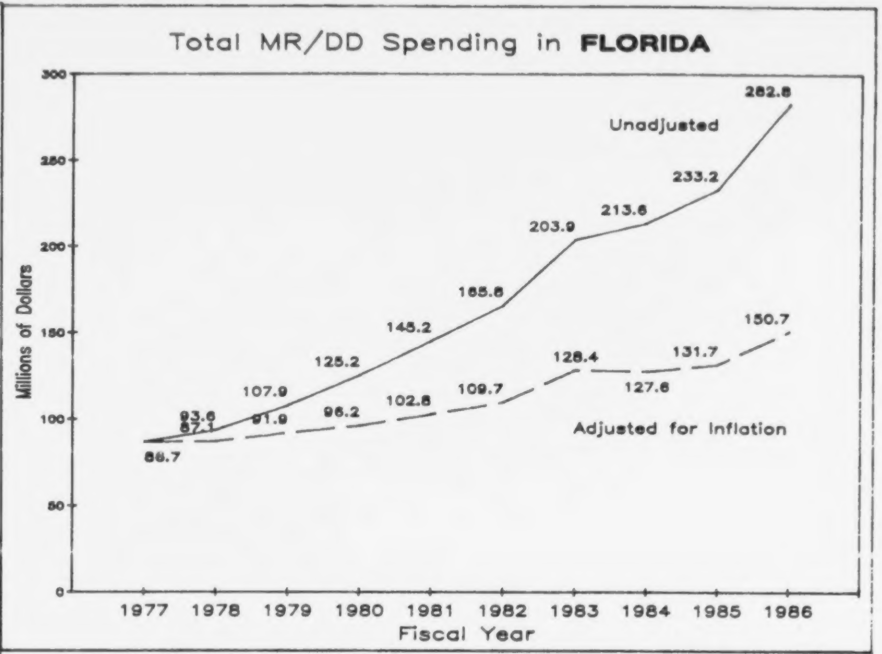
FY 1986 Total Federal Funds: $75 Million

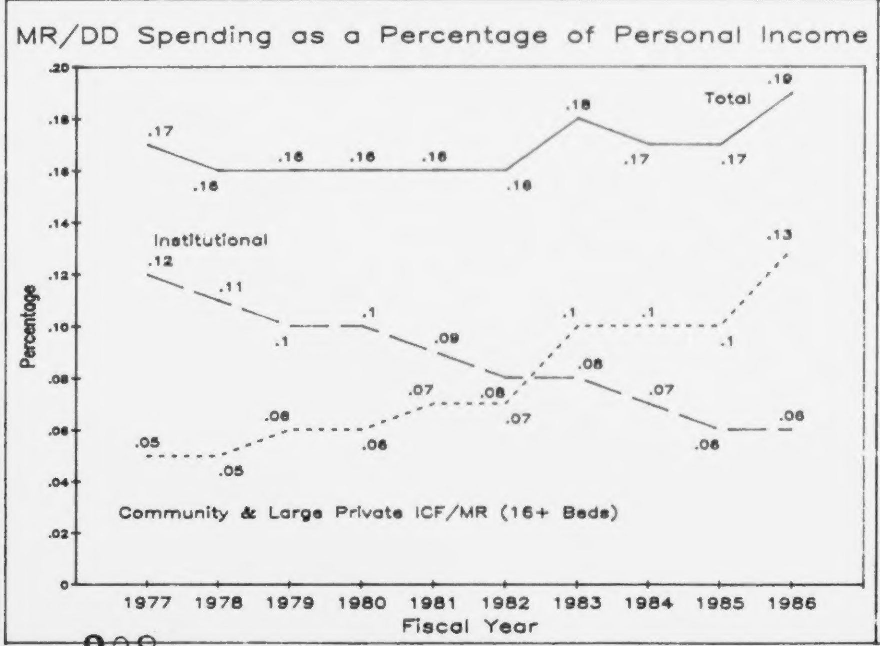
By Facility Size, FY 1977–86

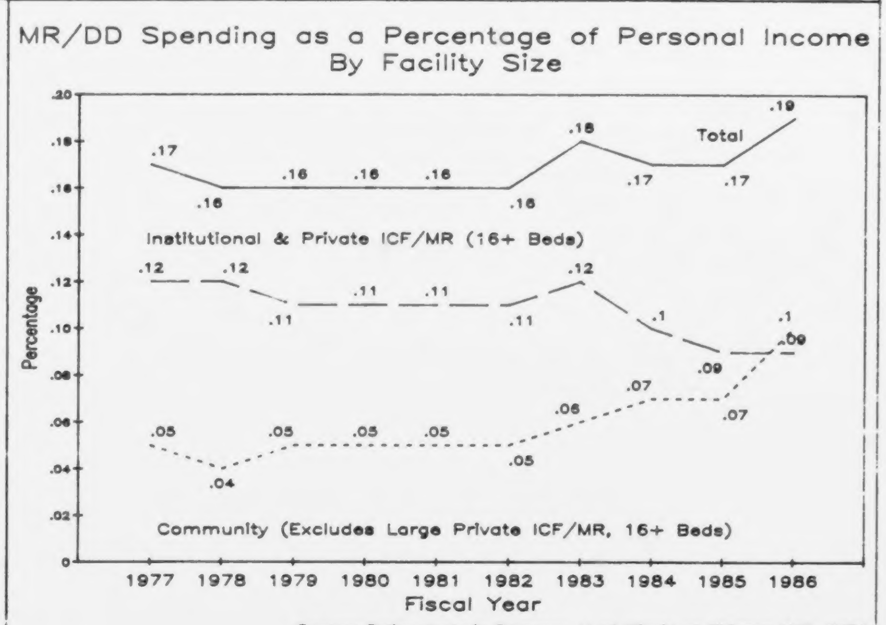


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988


Personal Income in **FLORIDA**


Total MR/DD Spending in **FLORIDA**


MR/DD Spending as a Percentage of Personal Income


MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

FLORIDA 9/4/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	127,176,000	139,083,000	159,358,000	184,366,000	218,388,000	247,960,000	292,697,000	310,071,200	340,537,700	396,159,800
TOTAL INSTITUTIONAL/COMMUNITY	86,692,000	93,644,000	107,952,000	125,238,000	145,240,000	165,775,000	203,876,000	213,595,200	233,155,700	282,818,800
STATE FUNDS	64,576,000	69,194,000	79,400,000	90,278,000	100,952,000	121,227,000	143,341,000	134,942,600	132,992,100	180,905,000
General Funds	64,408,000	68,995,000	79,195,000	89,966,000	100,514,000	120,786,000	142,752,000	134,213,600	132,221,100	179,660,000
SSI State Supplement	168,000	199,000	205,000	312,000	438,000	441,000	589,000	729,000	771,000	1,245,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	22,116,000	24,450,000	28,552,000	34,960,000	44,288,000	44,548,000	60,535,000	78,652,600	100,163,600	101,913,800
Title XIX Funds	4,460,000	6,065,000	9,258,000	12,936,000	23,428,000	28,433,000	43,376,000	60,631,200	76,167,700	84,644,100
Title XX / SSBG Funds	13,568,000	14,863,000	16,110,000	17,992,000	17,944,000	12,547,000	14,407,000	15,147,000	21,096,400	14,416,800
Other Federal Funds	4,088,000	3,522,000	3,184,000	4,032,000	2,916,000	3,568,000	2,752,000	2,874,400	2,899,500	2,852,900
INSTITUTIONAL SERVICES FUNDS	60,201,000	64,084,000	69,370,000	75,294,000	80,464,000	89,606,000	94,287,000	92,507,700	89,242,800	91,247,800
STATE FUNDS	49,751,000	51,533,000	54,803,000	57,774,000	57,494,000	73,184,000	74,819,000	66,671,200	53,200,800	62,153,900
General Funds	49,751,000	51,533,000	54,803,000	57,774,000	57,494,000	73,184,000	74,819,000	66,671,200	53,200,800	62,153,900
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	10,450,000	12,551,000	14,567,000	17,520,000	22,970,000	16,422,000	19,468,000	25,836,500	36,042,000	29,093,900
Federal ICF/MR	3,077,000	3,459,000	5,226,000	6,605,000	14,137,000	15,356,000	18,733,000	24,903,200	28,998,400	28,798,700
Title XX / SSBG Funds	4,865,000	7,250,000	7,442,000	8,599,000	7,508,000	0	0	469,600	6,679,700	0
Other Federal Funds	2,508,000	1,842,000	1,899,000	2,316,000	1,325,000	1,066,000	735,000	463,700	363,900	295,200
COMMUNITY WITH FEDERAL INCOME MAINT	66,975,000	74,999,000	89,988,000	109,072,000	137,924,000	158,354,000	198,410,000	217,563,500	251,294,900	304,912,000
COMMUNITY SERVICES FUNDS	26,491,000	29,560,000	38,582,000	49,944,000	64,776,000	76,169,000	109,589,000	121,087,500	143,912,900	191,571,000
STATE FUNDS	14,825,000	17,661,000	24,597,000	32,504,000	43,458,000	48,043,000	68,522,000	68,271,400	79,791,300	118,751,100
General Funds	14,657,000	17,462,000	24,392,000	32,192,000	43,020,000	47,602,000	67,933,000	67,542,400	79,020,300	117,506,100
SSI State Supplement	168,000	199,000	205,000	312,000	438,000	441,000	589,000	729,000	771,000	1,245,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	11,666,000	11,899,000	13,985,000	17,440,000	21,318,000	28,126,000	41,067,000	52,816,100	64,121,600	72,819,900
ICF/MR Funds	1,383,000	2,606,000	4,032,000	6,331,000	9,291,000	13,077,000	24,643,000	26,850,700	37,552,200	46,228,300
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	2,000,000	2,500,000	3,500,000	6,571,600	13,421,500	20,386,900
Large Private	1,383,000	2,606,000	4,032,000	6,331,000	7,291,000	10,577,000	21,143,000	20,279,100	24,130,700	25,841,400
Other Title XIX Funds	0	0	0	0	0	0	0	8,877,300	9,617,100	9,617,100
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	8,877,300	9,617,100	9,617,100
Title XX / SSBG Funds	8,703,000	7,613,000	8,668,000	9,393,000	10,436,000	12,547,000	14,407,000	14,677,400	14,416,700	14,416,800
Other Federal Funds	1,580,000	1,680,000	1,285,000	1,716,000	1,591,000	2,502,000	2,017,000	2,410,700	2,535,600	2,557,700
FEDERAL INCOME MAINTENANCE	40,484,000	45,439,000	51,406,000	59,128,000	73,148,000	82,185,000	88,821,000	96,476,000	107,382,000	113,341,000
Suppl. Security Income (SSI)	27,219,000	30,698,000	34,218,000	38,716,000	47,514,000	53,657,000	58,019,000	64,640,000	71,291,000	76,159,000
Childhood Disability (SSDI)	13,265,000	14,741,000	17,188,000	20,412,000	25,634,000	28,528,000	30,802,000	31,836,000	36,091,000	37,182,000
F.F.P. Rate	57.34%	56.82%	56.65%	58.37%	58.94%	58.18%	57.92%	58.29%	58.41%	56.16%
Daily Institutional Population	4,414	4,256	4,123	3,778	3,448	3,029	2,600	2,327	2,147	2,109
Institutional Per Diem	37.37	41.25	46.10	54.45	63.94	81.05	99.35	108.62	113.88	118.54

GEORGIA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Mental Retardation/Developmental Disabilities services in Georgia are managed by the Department of Human Resources, Division of Mental Health/Mental Retardation, Mental Retardation Services Section.

Budget Format. The budget format in State of Georgia Budget Reports provided expenditures for two retardation centers (institutions), four hospitals serving multiple populations (MH, Substance Abuse, MR/DD), and Community MH/MR Services. Prior to FY 1983, two additional hospitals served MH/MR populations. The budget documents provided the following fund source breakdown for the Division of MH/MR program elements.

General Fund
Federal
*Indirect DOAS (For Institutions Only)
Other
*Note: DOAS - Department of Administrative Services

Note on Data Sources. Review of State of Georgia Budget Report documents for FYs 1979, '82, and '84 provided expenditure figures for the Division which were categorized "actual" for FYs 1977, '79, '80 and '82; "estimated" for FYs 1978, '81 and '83; and "recommended" for FY 1984. From the review of the state published budget documents it was not possible to determine fund sources for the four multi-population institutions' MR/DD costs; to clarify the fund sources for MR/DD community lines; to obtain private ICF/MR expenditures; nor to obtain Federal Title XX/SSBG revenues. We initially contacted Webb Spraetz, Deputy Director, Mental Retardation Services, Division of Mental Health/Mental Retardation, Department of Human Resources (p.c., telephone, 12/05/83). He indicated that MR/DD institutional services were supported (in FY 1984) by approximately 40% Federal sources, and that there were three main services areas for the MR Section: the hospital program; day activity/community residential; and, case management services. There were 34 catchment areas, each with a Mental Health program leader.

Harriet Van Norte, Director, Community Residential Services Unit, Mental Retardation Services Section, (p.c., correspondence, 12/27/83) provided community/institutional expenditure figures, including those for the private ICF/MR program. The figures in that correspondence were categorized "actual" for FYs 1977-83, and "initial appropriation" for FY 1984.

Subsequently, (p.c., V. Youngiren, MR Services Section, 1/19/84), provided the administrative and support costs for the four multi-population facilities (estimated by the state at 8% of the facilities' budgets--which resulted in a higher percentage for MR share). In addition, we were provided, for FYs 1978 and '79, the MR/DD Unit costs at Savannah Regional Hospital and West Central Georgia Regional Hospital. We therefore included these additional expenditures with the institutional services figures previously provided, adding the additional cost to state general funds.

Fiscal year 1985 expenditure figures for the Georgia Retardation Center and Gracewood State School and Hospital; and for MR/DD portions of Central State Hospital, Georgia Regional Hospital (Atlanta), Northwest Regional Hospital (Rome), and Southwestern State Hospital were obtained from a special study by the Office of Planning and Budgeting (October 2, 1985). For the two retardation centers, expenditures included "patient support and therapy," "administration and support," and "MR-General." For the facilities serving Mental Health and Substance Abuse populations in addition to individuals with mental retardation/developmental disabilities, the ratio of MR/DD "client load" to the total population was utilized to determine the portion of "patient support and therapy" and "administration and support" which was attributable to the MR/DD population in each facility. These multiple population facilities had designated lines as well for "MR-General." (At the Georgia Regional-Atlanta, Georgia Retardation Center, Gracewood and Southwestern State Hospitals we also included the line item--or the MR/DD percentage of--"Medical Surgical Infirmary.")

The Federal ICF/MR reimbursement total for FY 1985 was obtained from Harriet Van Norte, Director Community Residential and Clinical Support Services, Mental Retardation Section (p.c., telephone, 1/16/86). Van Norte also provided the FY 1986 ICF/MR Federal reimbursement estimates for Gracewood plus Georgia Retardation Center; we projected total FY 1986 ICF/MR reimbursements based on the ratio of FY 1985/FY 1986 at these two centers. Total expenditures for FY 1986 were estimated based on a computer print-out entitled "MH/MR/SA Institutions Quarterly Review--Fiscal" provided by Ms. Van Norte (p.c., correspondence, 1/10/86). This document provided "actual" FY 1985 and "budget" FY 1986 figures for "MR General" for the two retardation and the four multiple-purpose facilities. We estimated FY 1986 total expenditures for MR/DD institutions based on the ratio of FY 1985 ($48,955 thousand) to FY 1986 ($52,803 thousand) figures for "MR General."

Population figures for MR/DD institutional services were provided by Ms. Van Norte (p.c., telephone, 1/16/86).

To determine community services expenditures, we utilized the figures provided in the 12/27/83 correspondence, which were consistent with the MR/DD lines identified in the budget documents. Subsequent to the completion of our FYs 1977-84 analysis--11/15/85--we received from the Division of MH/MR estimates of the portion of Supported Living Staff and Supported Living Benefits for the FYs 1978-84 period attributable to MH services. We also received information from Janet Colwell, DMH/MR Budget Officer (p.c., telephone, 5/2/86), which indicated that the community services figures previously reported in correspondence (12/27/83) had not included any of those MH/MR Supported Living expenditures.

Therefore, this revised FYs 1977-86 analysis contains community services figures for FYs 1978-84 which have been increased by the following amounts to account for MR/DD Supported Living funds: FY 1978 ($482 thousand); FY 1979 ($489); FY 1980 ($500); FY 1981 ($673); FY 1982 ($792); FY 1983 ($1,209); FY 1984 ($1,446)

To determine FYs 1985-86 community services expenditures, we utilized the Office of Planning and Budget document (October 2, 1985), which provided MH, MR, Substance Abuse, Autism, Pharmacy, and Administration/Support figures for the 27 Service Areas in Georgia. We totalled corresponding lines for the 27 Service Areas. Then, the resulting totals for MR and Autism were combined, and their ratio to the total of all disabilities ($71,786 thousand to $127,386 thousand) was utilized to apportion Pharmacy and Administration/Support to MR/DD.

The resulting total for the 27 service areas was $76,338 thousand (not including $656 thousand of inter/intra transfer funds). To this total was added $1,512 thousand for Supported Living and $1,100 thousand for "Activity 65" (p.c., telephone, H. Van Norte, 1/16/86). Van Norte at that time also provided the FY 1986 community services appropriation, estimates of the FY 1985 and FY 1986 Social Services Block Grant revenue, and estimates of the FY 1985 and FY 1986 Federal and State matching funds for the Large Private ICF/MR (Parkwood).

II. INSTITUTIONAL SERVICES FUNDS

Institutional Services consisted of the expenditures for the two retardation institutions, and the four multi-population hospitals and regional centers' MR/DD share.

State Funds. See the notes on data sources above for an explanation of the methods utilized to include administrative/general costs (at approximatley 8% of budget) into the annual General Fund amounts for institutional services.

III. COMMUNITY SERVICES FUNDS

Community services consisted of the expenditures within the 27 service areas for MR/DD persons; and in addition, the private ICF/MR.

Other State Funds. A footnote in the 12/27/83 correspondence had indicated that the figures for FYs 1981-83 included SSI funds. In a subsequent phone interview (V. Youngiren, 1/19/84), we were provided these SSI fund amounts, which were subtracted from Other State Funds for each of the three years, and therefore are not in the analysis at this time:

Clients' SSI Funds, Subtracted from Analysis Figures
(dollars in thousands)

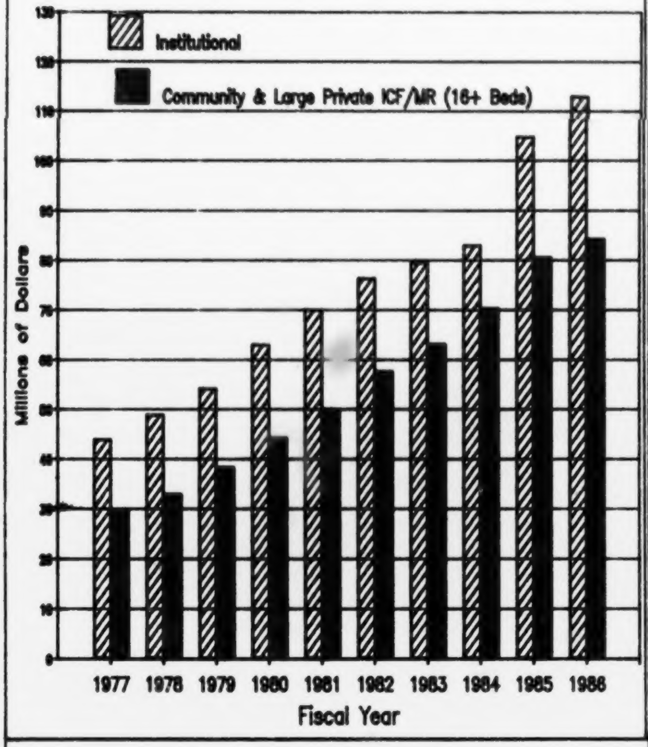
FY 1981	FY 1982	FY 1983
$1,203.0	$1,880.0	$2,831.0

Private ICF/MR Large consisted of expenditures for the Parkwood Center, a 100- bed facility. The funding for this program was managed by the Department of Medical Assistance (DMA).

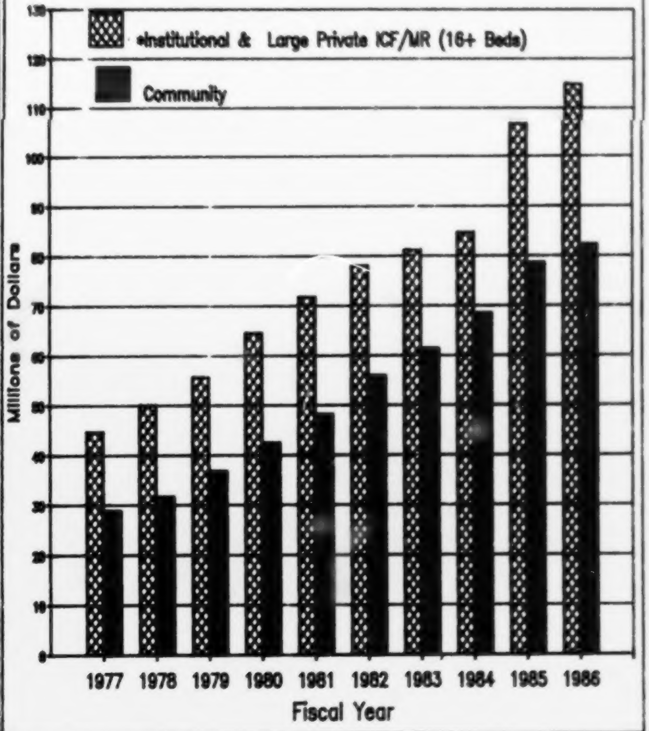
Federal Title XX/SSBG. Expenditure figures were those reported by the agency in 12/27/83 correspondence, and in personal communication (H. Van Norte, 1/16/86).

Other Federal Funds consisted primarily of DD Act and School Lunch Program funds.

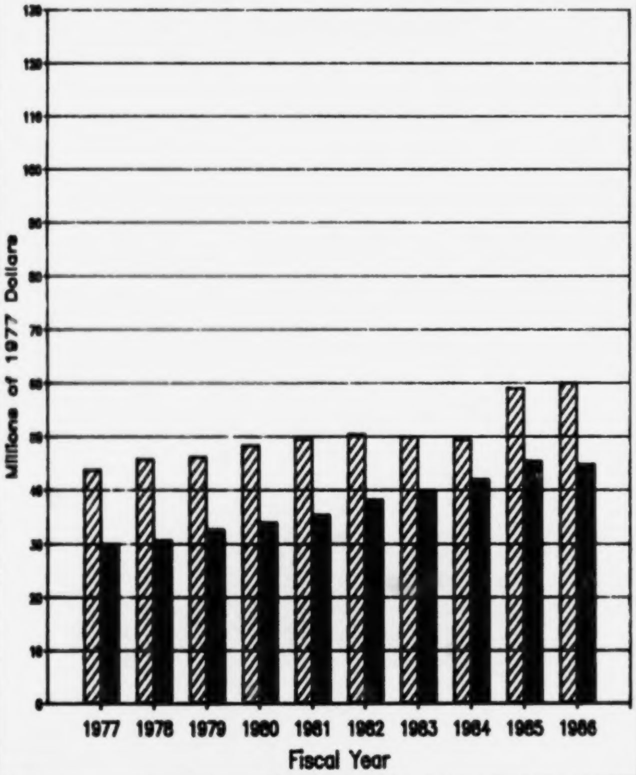
MR/DD Expenditures for *Institutional* & *Community* Services



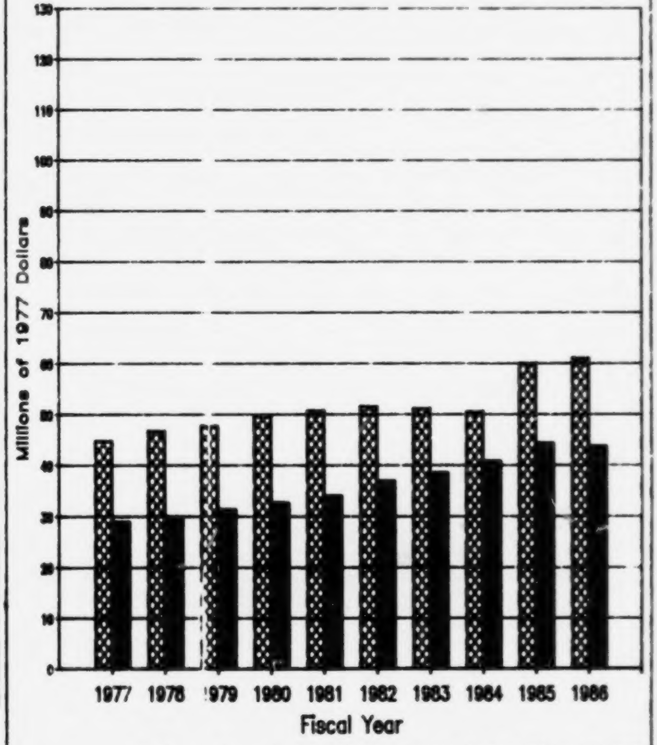
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



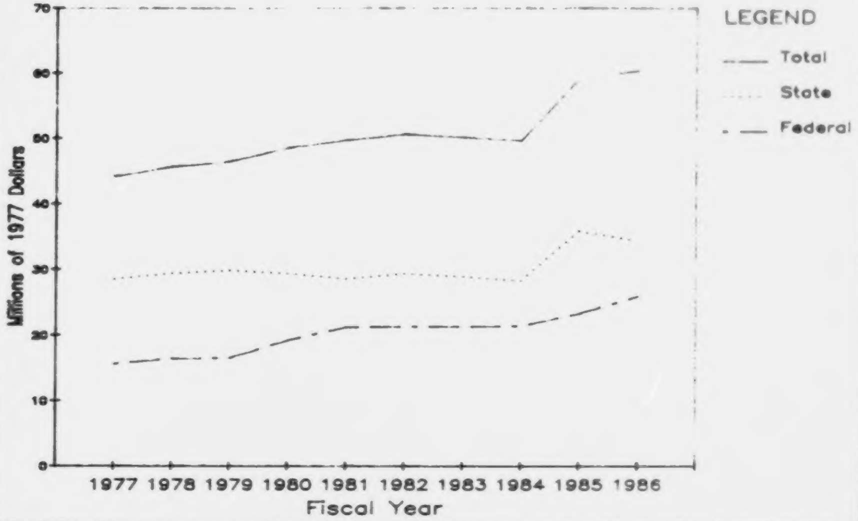
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

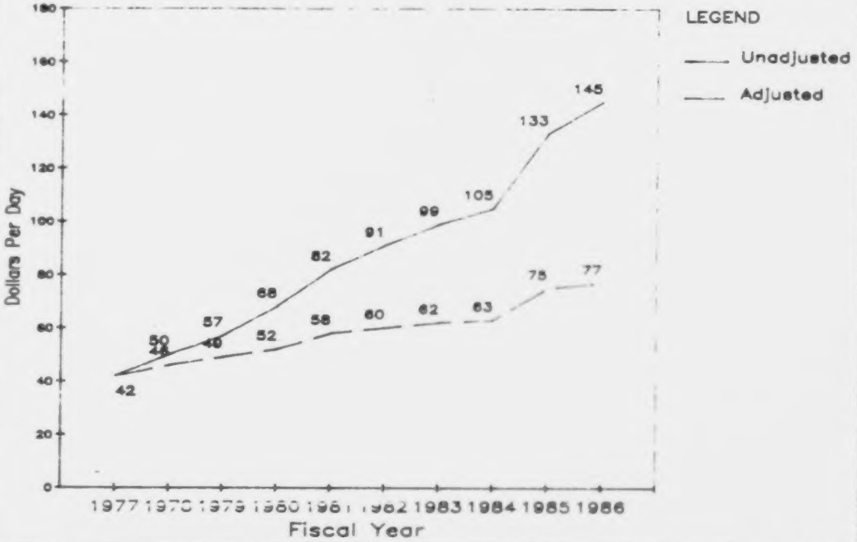
GEORGIA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977-86

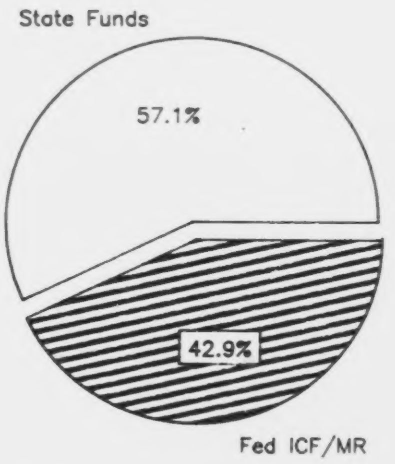


GEORGIA

Institutional Per Diem Costs: FY 1977-86



Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $113.2 Million

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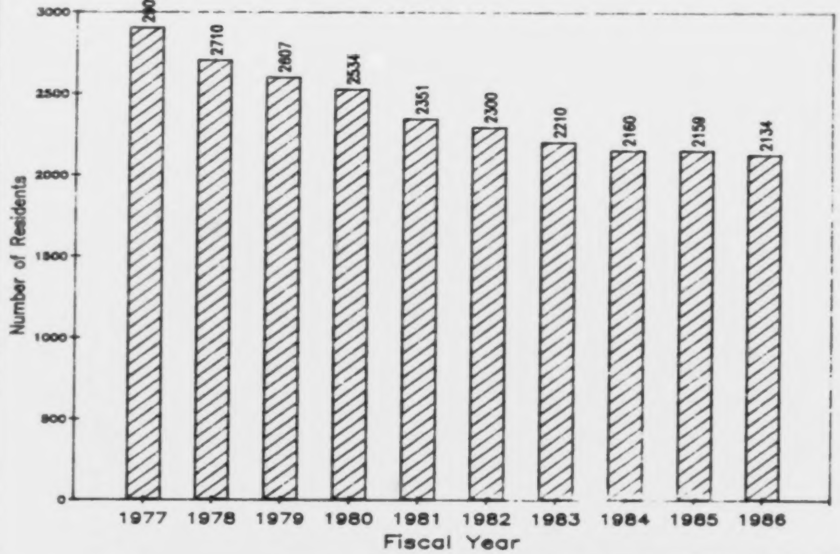
Average Daily Residents in Institutions



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

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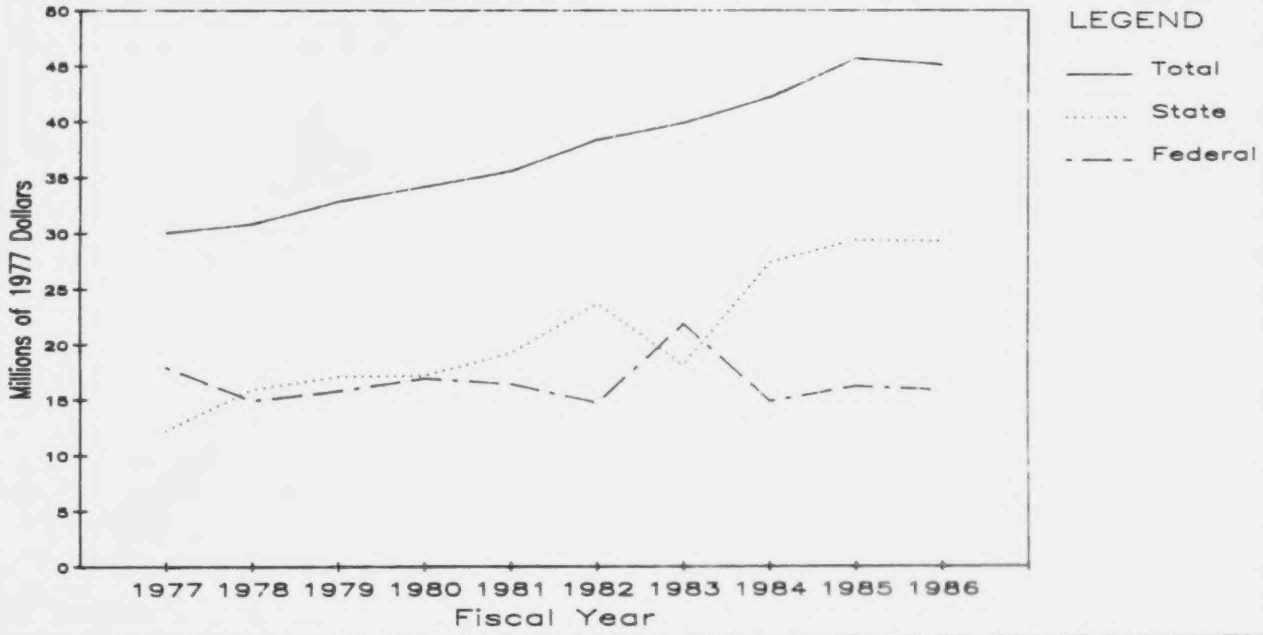
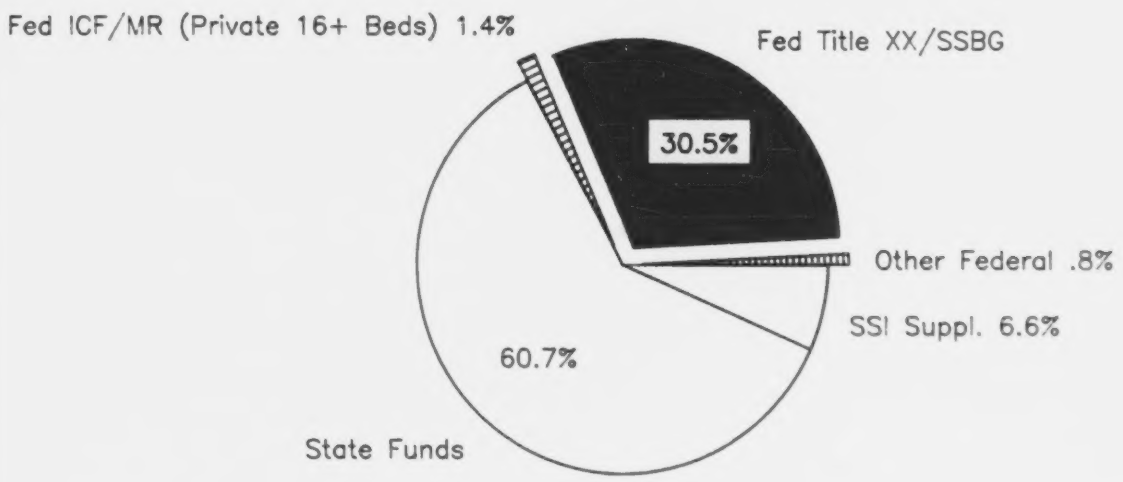
GEORGIA

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

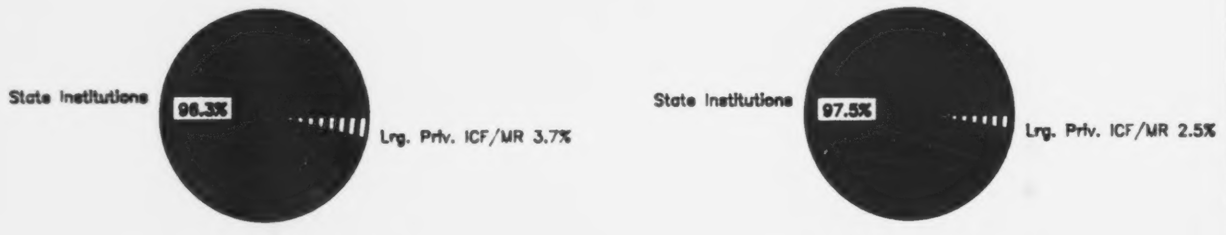


FY 1986 Total Funds: $84.5 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

GEORGIA

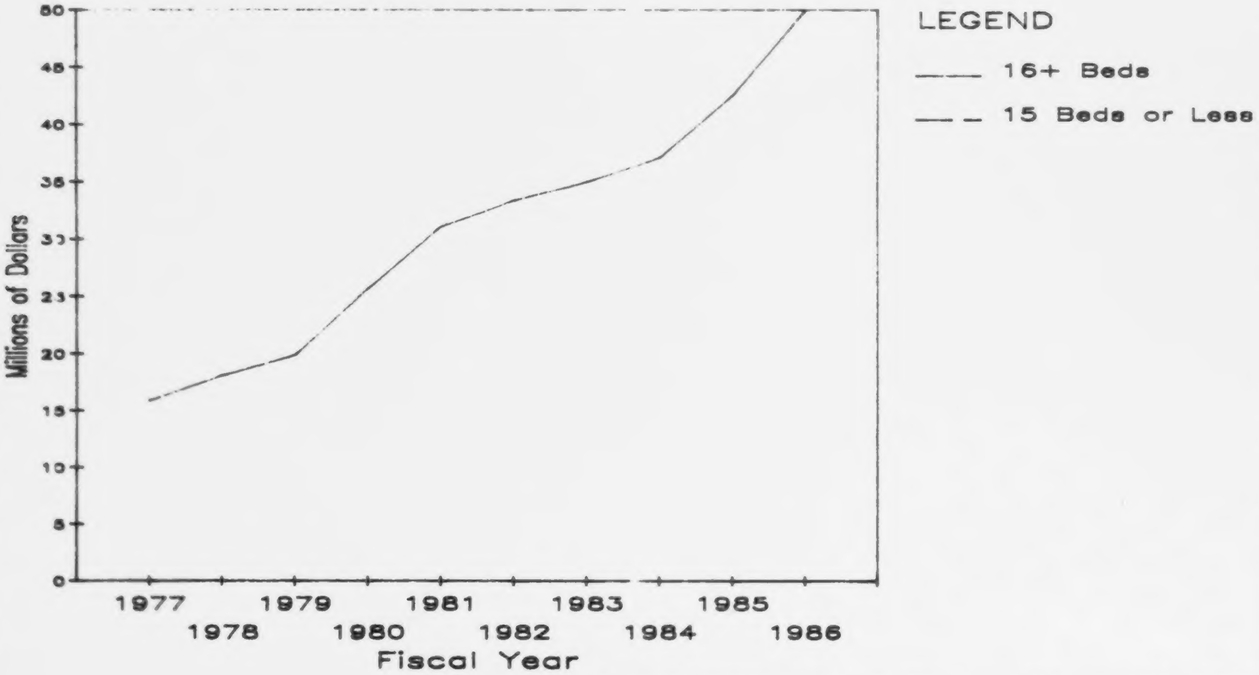
Federal ICF/MR Funding by Facility Setting: FY 1977 and 1986



FY 1977 Total Federal Funds: $15.9 Million

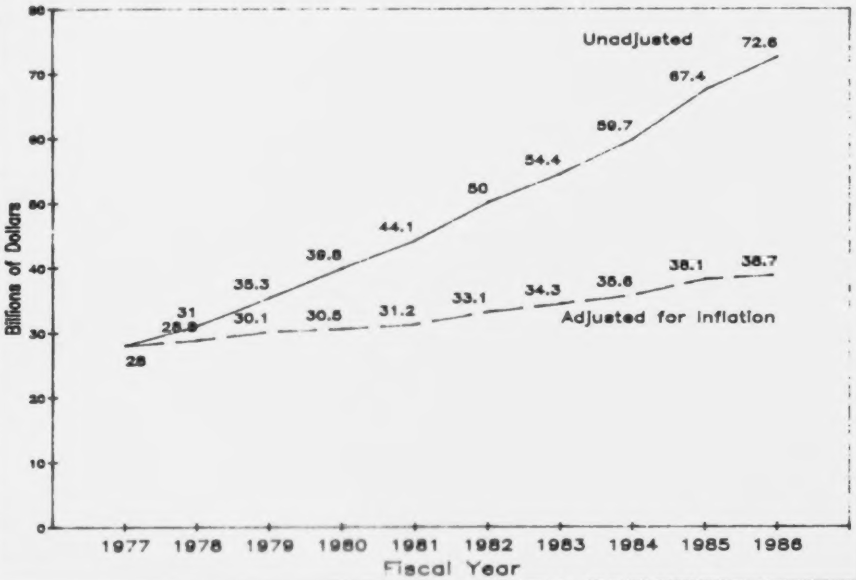
FY 1986 Total Federal Funds: $49.9 Million

By Facility Size, FY 1977--86

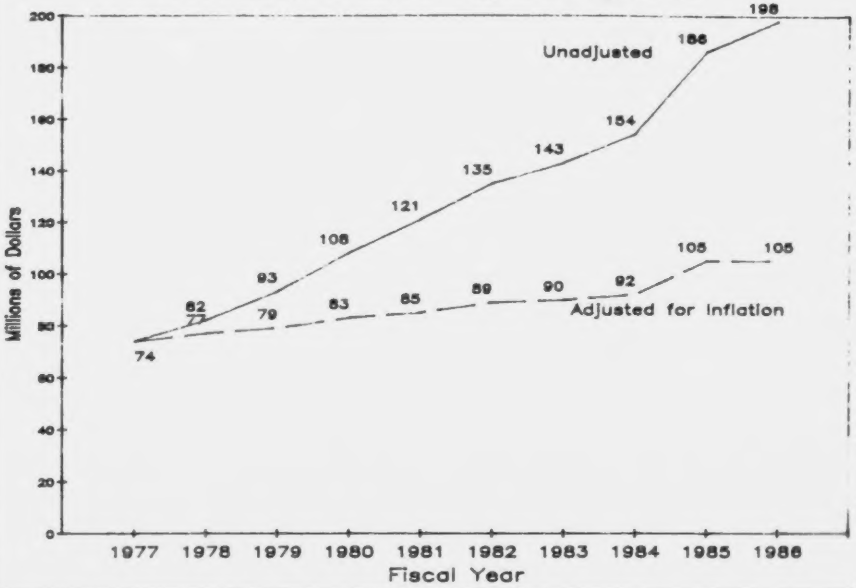


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

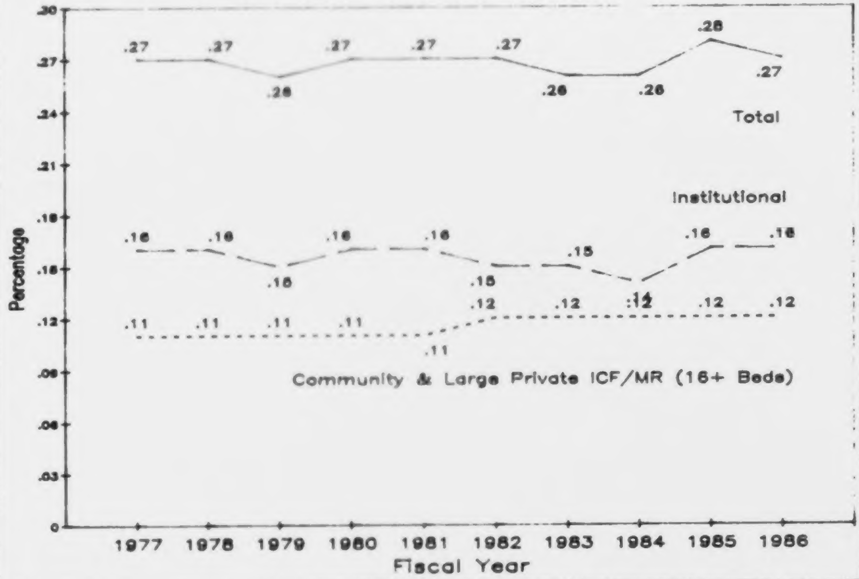
Personal Income in **GEORGIA**



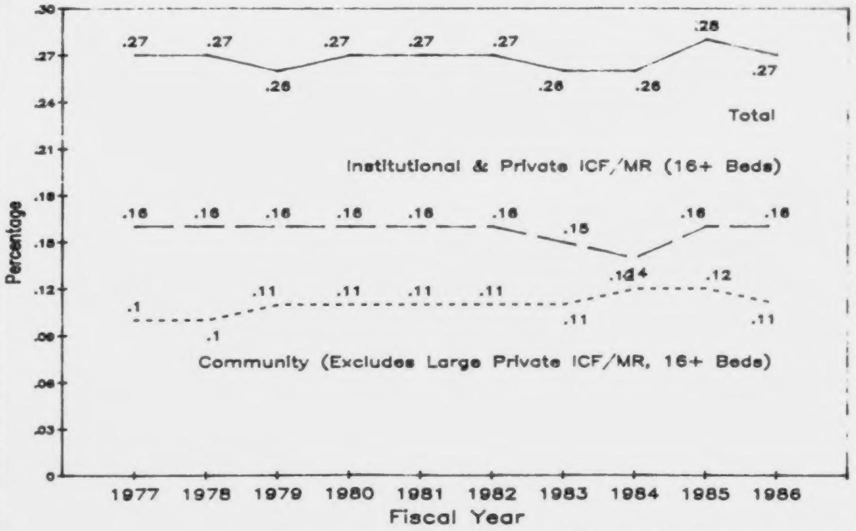
Total MR/DD Spending in **GEORGIA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

GEORGIA 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	118,814,000	131,756,900	146,927,200	168,557,000	194,464,000	216,578,000	230,866,000	250,220,000	292,768,000	306,260,000
TOTAL INSTITUTIONAL/COMMUNITY	74,167,000	82,380,900	93,097,200	107,713,000	120,561,000	134,534,000	143,193,000	153,879,000	185,791,000	197,686,000
STATE FUNDS	40,640,000	48,747,400	55,253,200	60,668,000	67,443,000	80,148,000	74,730,000	93,287,000	115,745,000	119,517,000
General Funds	35,880,000	43,378,400	49,920,200	57,162,000	63,124,000	71,336,000	68,354,000	82,911,000	105,296,000	109,117,000
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	4,760,000	5,369,000	5,333,000	3,506,000	4,319,000	8,812,000	6,376,000	10,376,000	10,449,000	10,400,000
FEDERAL FUNDS	33,527,000	33,633,500	37,844,000	47,045,000	53,118,000	54,386,000	68,463,000	60,592,000	70,046,000	78,169,000
Title XIX Funds	15,920,000	18,052,000	19,941,000	25,678,000	31,108,000	33,356,000	34,952,000	37,074,000	42,526,000	49,852,000
Title XX / SSBG Funds	15,994,000	15,242,000	17,535,000	20,774,000	21,276,000	20,302,000	32,786,000	22,807,000	27,000,000	27,559,000
Other Federal Funds	1,613,000	339,500	368,000	593,000	734,000	728,000	725,000	711,000	520,000	758,000
INSTITUTIONAL SERVICES FUNDS	44,152,000	49,197,400	54,547,200	63,255,000	70,302,000	76,562,000	79,763,000	83,240,000	104,965,000	113,231,000
STATE FUNDS	28,524,000	31,570,400	35,194,200	38,303,000	40,387,000	44,346,000	45,984,000	47,386,000	63,680,000	64,631,000
General Funds	23,764,000	26,201,400	30,491,200	36,622,000	37,678,000	39,554,000	44,523,000	45,380,000	61,680,000	62,631,000
Other State Funds	4,760,000	5,369,000	4,703,000	1,681,000	2,709,000	4,792,000	1,461,000	2,006,000	2,000,000	2,000,000
FEDERAL FUNDS	15,628,000	17,627,000	19,353,000	24,952,000	29,915,000	32,216,000	33,779,000	35,854,000	41,285,000	48,600,000
Federal ICF/MR	15,328,000	17,288,000	18,985,000	24,550,000	29,915,000	32,216,000	33,779,000	35,854,000	41,285,000	48,600,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	300,000	339,000	368,000	402,000	0	0	0	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	74,662,000	82,559,500	92,380,000	105,302,000	124,162,000	140,016,000	151,103,000	166,980,000	187,803,000	193,029,000
COMMUNITY SERVICES FUNDS	30,015,000	33,183,500	38,550,000	44,458,000	50,259,000	57,972,000	63,430,000	70,639,000	80,826,000	84,455,000
STATE FUNDS	12,116,000	17,177,000	20,059,000	22,365,000	27,056,000	35,802,000	28,746,000	45,901,000	52,065,000	54,886,000
General Funds	12,116,000	17,177,000	19,429,000	20,540,000	25,446,000	31,782,000	23,831,000	37,531,000	43,616,000	46,486,000
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	0	0	630,000	1,825,000	1,610,000	4,020,000	4,915,000	8,370,000	8,449,000	8,400,000
FEDERAL FUNDS	17,899,000	16,006,500	18,491,000	22,093,000	23,203,000	22,170,000	34,684,000	24,738,000	28,761,000	29,569,000
ICF/MR Funds	592,000	764,000	956,000	1,128,000	1,193,000	1,140,000	1,173,000	1,220,000	1,241,000	1,252,000
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	592,000	764,000	956,000	1,128,000	1,193,000	1,140,000	1,173,000	1,220,000	1,241,000	1,252,000
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	15,994,000	15,242,000	17,535,000	20,774,000	21,276,000	20,302,000	32,786,000	22,807,000	27,000,000	27,559,000
Other Federal Funds	1,313,000	500	0	191,000	734,000	728,000	725,000	711,000	520,000	758,000
FEDERAL INCOME MAINTENANCE	44,647,000	49,376,000	53,830,000	60,844,000	73,903,000	82,044,000	87,673,000	96,341,000	106,977,000	108,574,000
Suppl. Security Income (SSI)	36,005,000	39,772,000	42,631,000	47,545,000	57,202,000	63,457,000	67,604,000	75,599,000	81,376,000	84,349,000
Childhood Disability (SSDI)	8,642,000	9,604,000	11,199,000	13,299,000	16,701,000	18,587,000	20,069,000	20,742,000	25,601,000	24,225,000
F.F.P. Rate	66.10%	65.89%	65.82%	66.53%	66.76%	66.40%	66.28%	67.14%	67.43%	67.43%
Daily Institutional Population	2,909	2,710	2,607	2,534	2,351	2,300	2,210	2,160	2,159	2,134
Institutional Per Diem	41.58	49.74	57.32	68.20	81.93	91.20	98.88	105.29	133.20	145.37

HAWAII

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Mental retardation programs in Hawaii are located in the Department of Health. Since FY 1978, funds supporting the Waimano State School and the Community Services Branch have been in separate Health Department administrative divisions. Before that date, Community Services activities were carried out under Waimano's auspices.

Budget Format. The Hawaii State Health Department had three budget categories through which mental retardation programs were funded. These were: Identification, Evaluation, and Treatment of the Mentally Retarded (HTH-500); Community Services for the Mentally Retarded (HTH-501); and the Waimano Training School (HTH-511).
The Budget sections pertaining to MR had the following funding source categories:

General Fund
Special Fund
Other Federal Funds (specific sources were listed, i.e.,
Title XIX, XX, CHAMPUS, etc.)
Revenue Sharing Trust Contribution.

Note on Data Sources: The FY 1977-84 expenditure data for institutional and community services were originally obtained from correspondence (p.c., C. Masaki, Chief, Administrative Services Office, Hawaii Department of Health, 9/16/83). Masaki's letter also provided HTH-500 and 501 research expenditure levels for FY 1984.

Average daily population figures were obtained for Waimano by averaging the population figures for the beginning and end of each fiscal year (p.c., telephone, M. Asano, Department of Health, 6/19/84; correspondence, 6/25/84). For the analysis of FYs 1985-86 expenditures, we contacted Melvin Asano, Budget Officer, Administrative Services Office, Department of Health (p.c., telephone, 4/2/86). Expenditure and average daily population figures for Waimano Training School and and expenditures for community services were provided. Subsequently (p.c., correspondence, M. Asano, 5/20/86), we were provided slightly revised expenditure figures for institutional and community services for the ten-year period (FYs 1977-86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of expenditures for the Waimano Training School.

III. COMMUNITY SERVICES FUNDS

Community services consisted of the budget categories HTH-500 and HTH-501; Title XX Social Services (through FY 1982 only); Other Federal Funds consisting primarily of MR Special Project and Department of Education funds; and (beginning in FY 1984) reimbursements under the Community Care Waiver. Finally, Private ICF/MR funding was initiated in FY 1986.

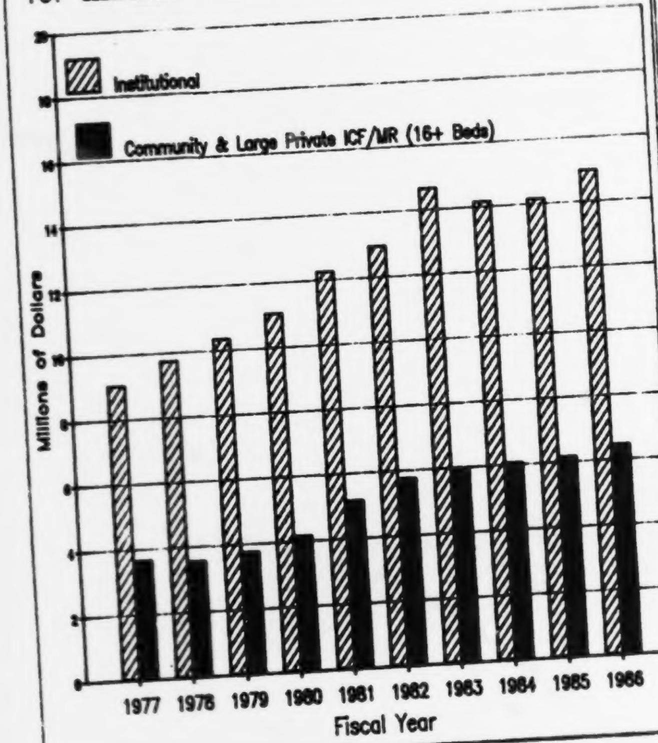
Private ICF/MR Small. Payments to private providers for ICF/MR services began during FY 1986. During the year, four facilities, each serving four individuals, were contracted with by the state's Medicaid agency.

Waiver. Hawaii's Home and Community Based Care Waiver program was initiated in FY 1984. Residents of Waimano were relocated to adult foster homes, and day treatment services amounting to about $450/month per client were also reimbursed under the Program. The Waiver initiative was administered through the budget of the Waimano Training School.

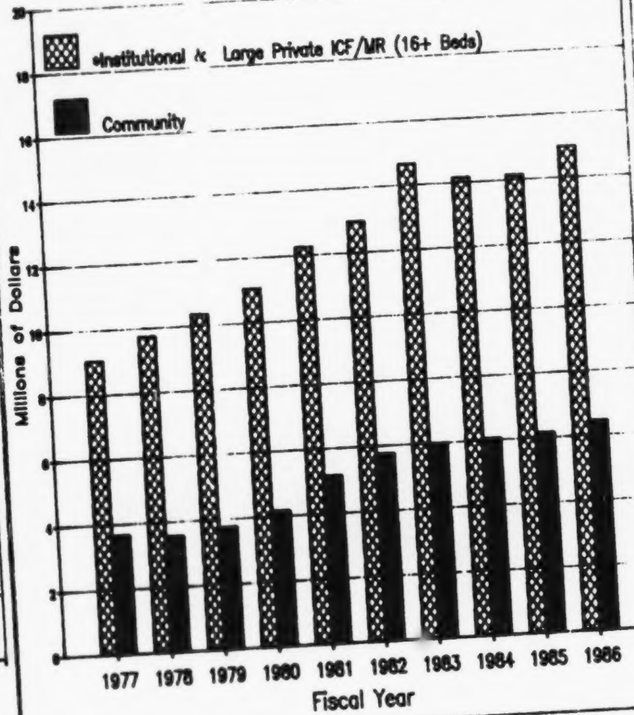
Federal Title XX/SSBG. All Title XX/SSBG expenditure figures for individuals with mental retardation, except for FY 1977 estimates, were obtained from inspection of financial records in the Hawaii Department of Health, DD Branch. The 1977 data were an estimate of "start-up monies" for the Hawaii HTH-500 and HTH-501 budget lines. HTH-500 began as a special project in the Health Department's Family Health Services Division; and HTH-501 began as a special project component within the budget of the Waimano Training School. At the end of the first quarter of FY 1982, the use of Title XX/SSBG for supporting HTH-500 and HTH-501 community services was terminated. Projects were converted to state funding.

HAWAII

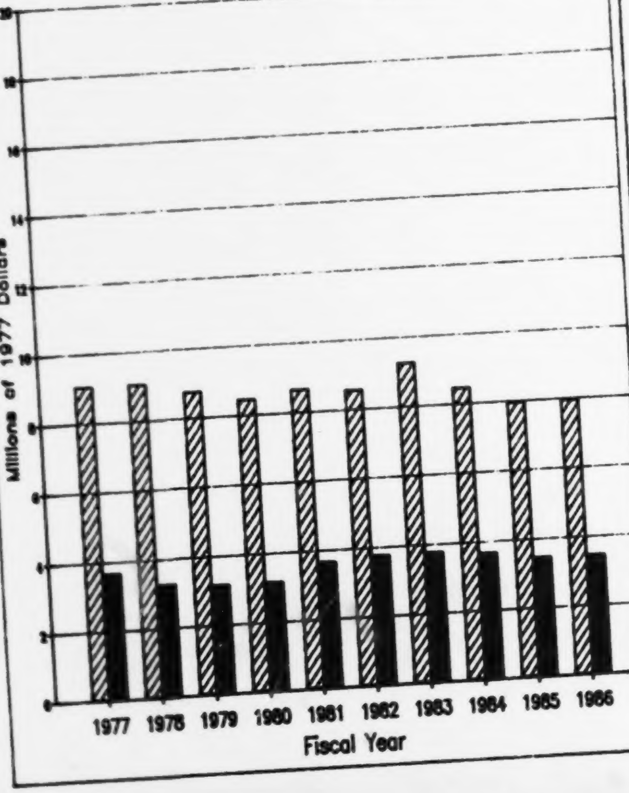
MR/DD Expenditures
for *Institutional* & *Community* Services



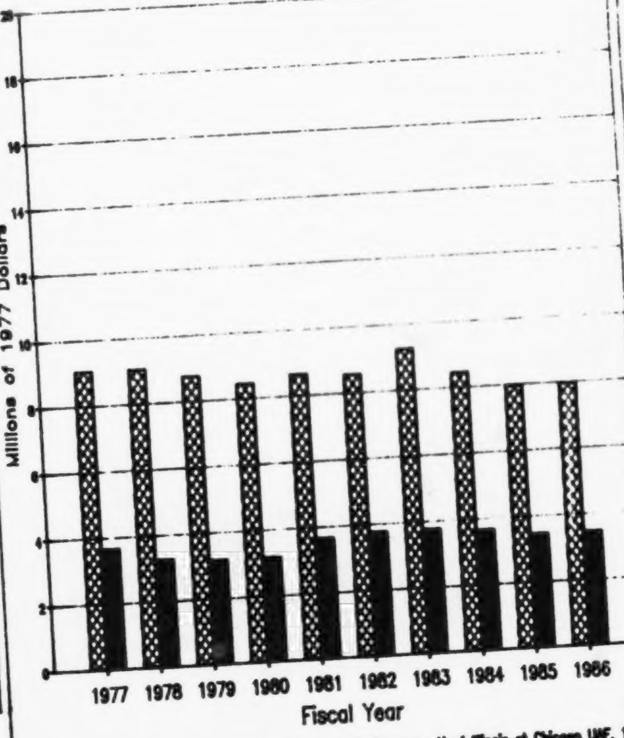
MR/DD Expenditures for Large Congregate*
& Community Services



Adjusted for Inflation



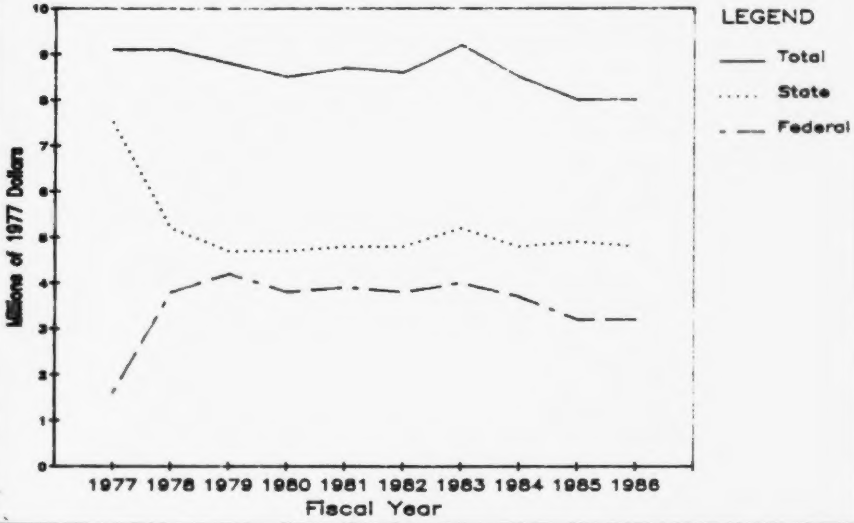
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

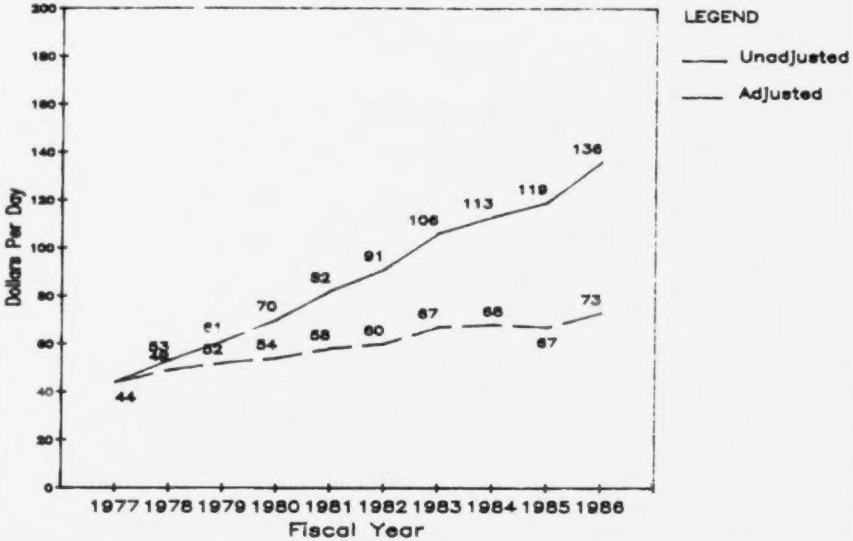
HAWAII

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

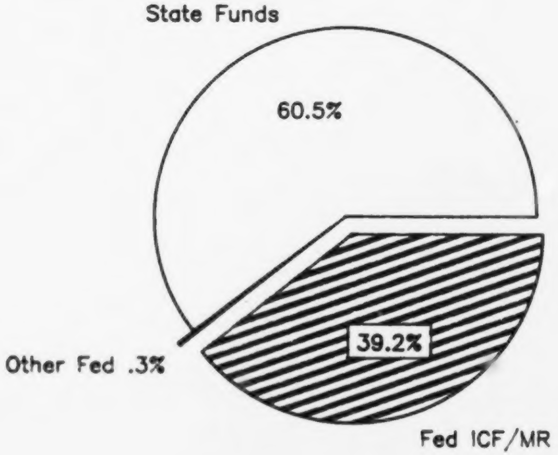


HAWAII

Institutional Per Diem Costs: FY 1977–86

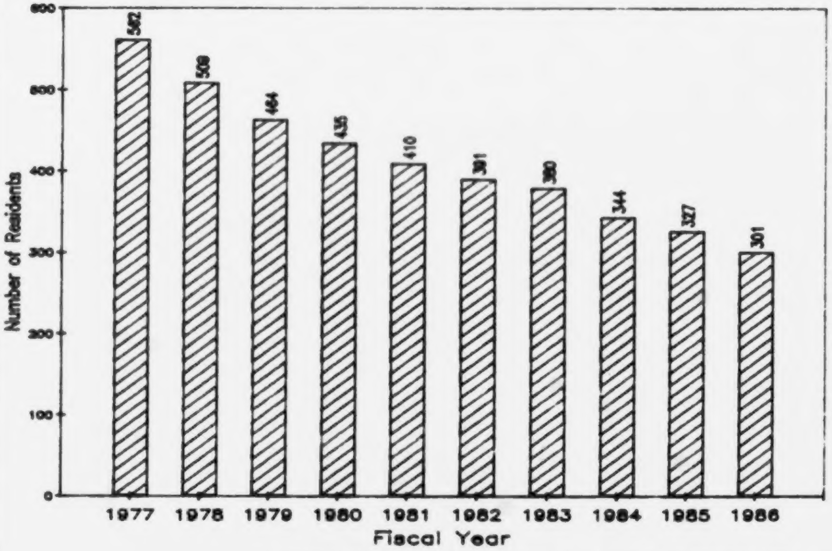


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $15.0 Million

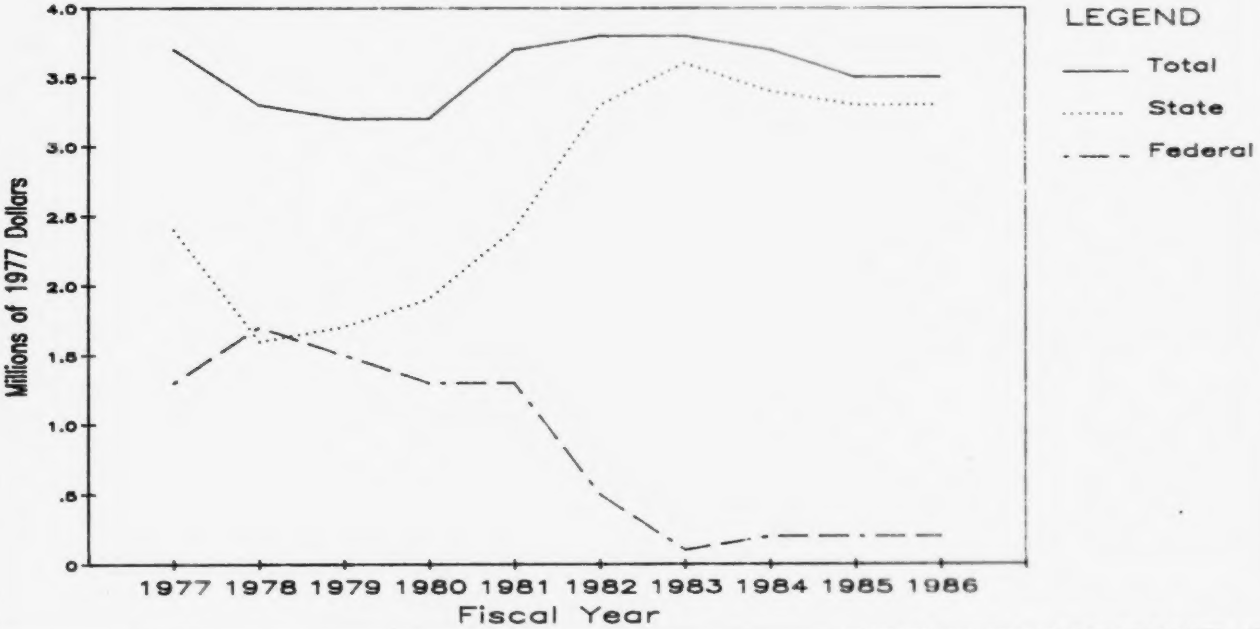
Average Daily Residents in Institutions



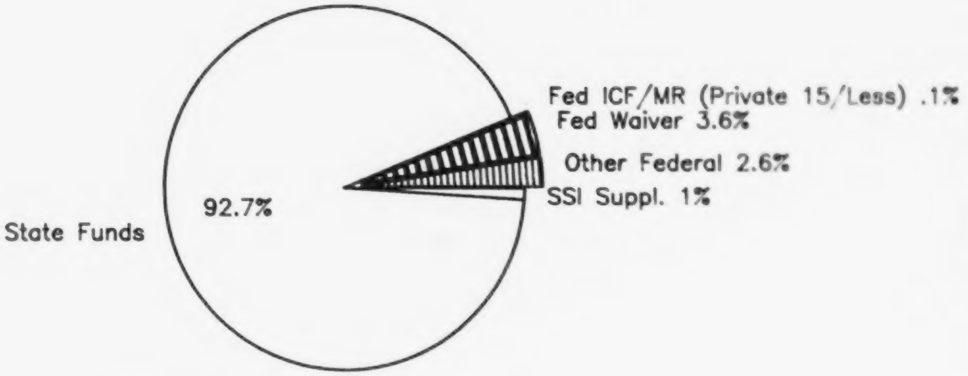
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

HAWAII

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

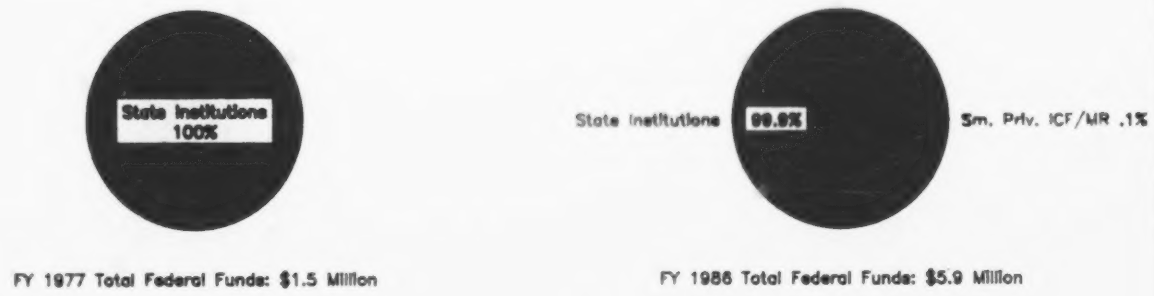


FY 1986 Total Funds: $6.5 Million

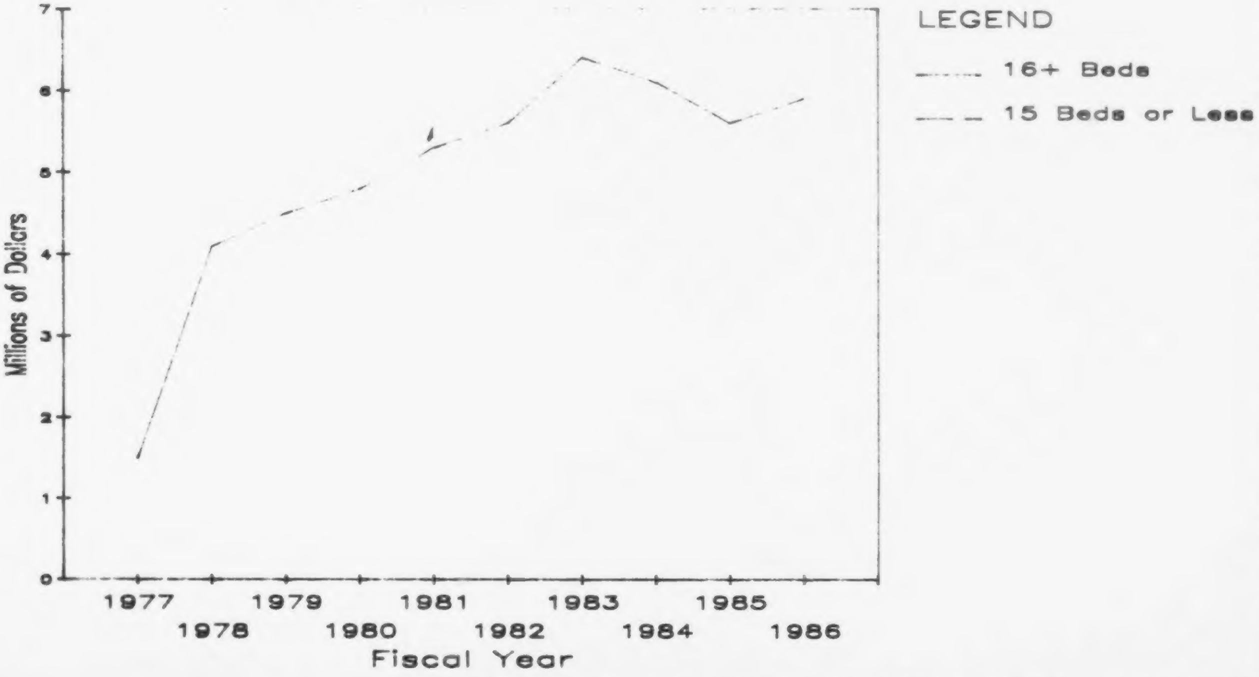
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

HAWAII

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

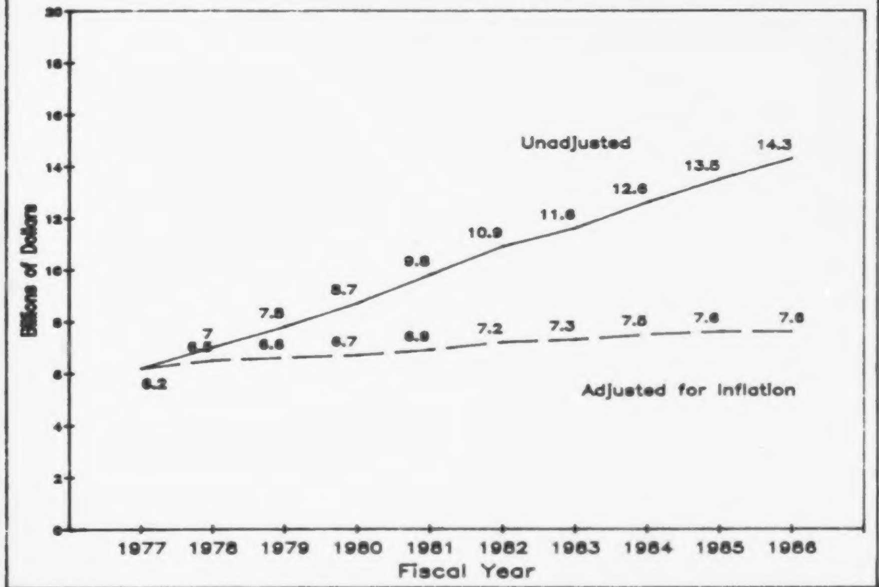


By Facility Size, FY 1977-86

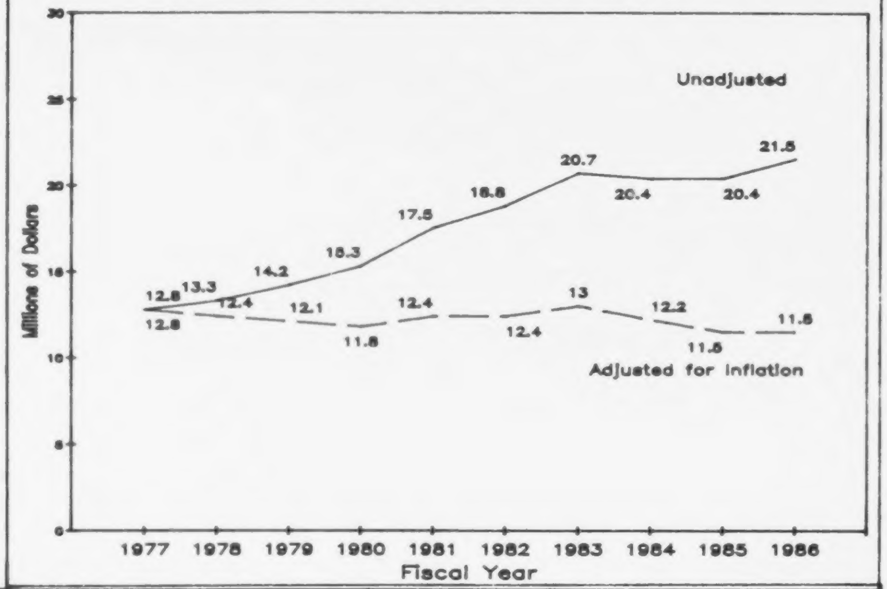


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

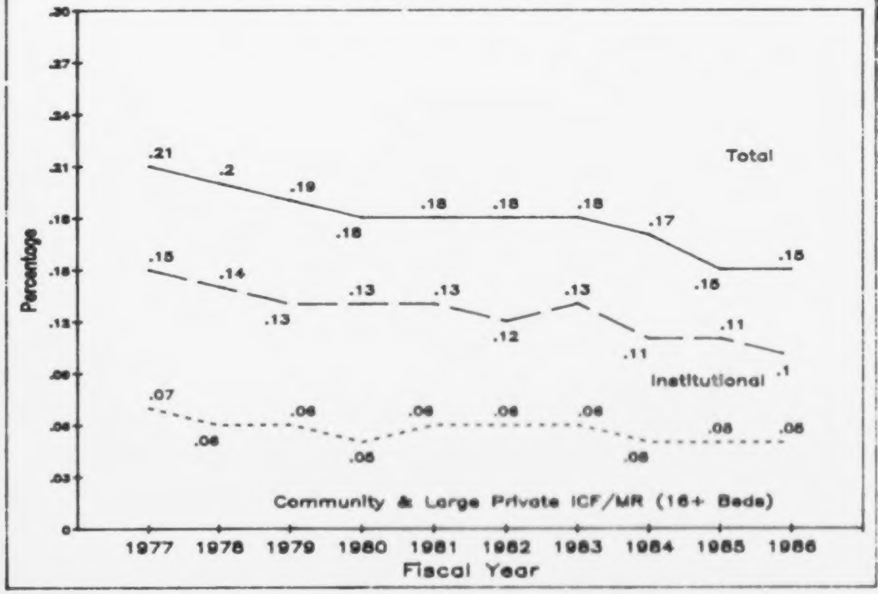
Personal Income in **HAWAII**



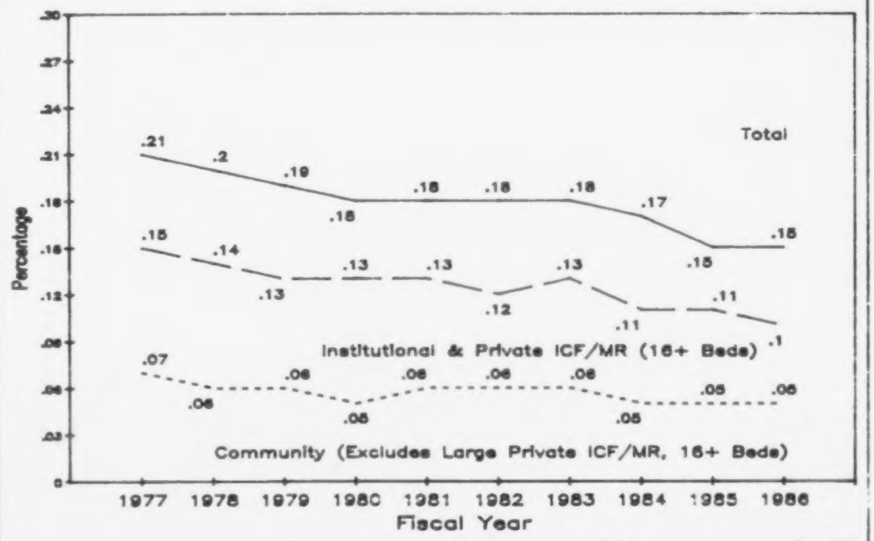
Total MR/DD Spending in **HAWAII**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

HAWAII 4/2/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	14,806,400	15,631,400	16,801,400	18,364,300	21,274,800	23,002,300	25,263,300	25,368,000	26,236,700	27,623,800
TOTAL INSTITUTIONAL/COMMUNITY	12,767,400	13,328,400	14,151,400	15,299,300	17,506,800	18,756,300	20,680,300	20,357,000	20,411,700	21,520,800
STATE FUNDS	9,935,900	7,380,200	7,486,700	8,554,100	10,199,800	12,355,600	14,064,700	13,774,700	14,413,300	15,193,700
General Funds	9,849,900	7,196,200	7,294,700	8,431,000	10,067,500	12,241,400	13,997,700	13,711,700	14,347,300	15,127,700
SSI State Supplement	58,000	61,000	63,000	66,000	70,000	72,000	67,000	63,000	66,000	66,000
Other State Funds	28,000	123,000	129,000	57,100	62,300	42,200	0	0	0	0
FEDERAL FUNDS	2,831,500	5,948,200	6,664,700	6,745,200	7,307,000	6,400,700	6,615,600	6,582,300	5,998,400	6,327,100
Title XIX Funds	1,516,600	4,066,600	4,474,100	4,788,400	5,314,300	5,611,300	6,380,600	6,189,900	5,757,000	6,122,500
Title XX / SSBG Funds	85,000	369,000	386,000	228,200	249,200	168,900	0	0	0	0
Other Federal Funds	1,229,900	1,512,600	1,804,600	1,728,600	1,743,500	620,500	235,000	392,400	241,400	204,600
INSTITUTIONAL SERVICES FUNDS	9,093,400	9,763,400	10,361,400	11,129,800	12,315,800	12,982,700	14,684,100	14,235,700	14,236,900	14,985,300
STATE FUNDS	7,521,900	5,626,200	3,472,700	6,139,200	6,809,300	7,311,800	8,286,500	8,063,500	8,611,000	9,063,700
General Funds	7,521,900	5,626,200	3,472,700	6,139,200	6,809,300	7,311,800	8,286,500	8,063,500	8,611,000	9,063,700
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	1,571,500	4,137,200	4,888,700	4,990,600	5,506,500	5,670,900	6,397,600	6,172,200	5,625,900	5,921,600
Federal ICF/MR	1,516,600	4,066,600	4,474,100	4,788,400	5,314,300	5,611,300	6,380,600	6,126,500	5,602,500	5,883,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	54,900	70,600	414,600	202,200	192,200	59,600	17,000	45,700	23,400	38,600
COMMUNITY WITH FEDERAL INCOME MAINT	5,713,000	5,868,000	6,440,000	7,234,500	8,959,000	10,019,600	10,579,200	11,132,300	11,999,800	12,638,500
COMMUNITY SERVICES FUNDS	3,674,000	3,565,000	3,790,000	4,169,500	5,191,000	5,773,600	5,996,200	6,121,300	6,174,800	6,535,500
STATE FUNDS	2,414,000	1,754,000	2,014,000	2,414,900	3,390,500	5,043,800	5,778,200	5,711,200	5,802,300	6,130,000
General Funds	2,328,000	1,570,000	1,822,000	2,291,800	3,258,200	4,929,600	5,711,200	5,648,200	5,736,300	6,064,000
SSI State Supplement	58,000	61,000	63,000	66,000	70,000	72,000	67,000	63,000	66,000	66,000
Other State Funds	28,000	123,000	129,000	57,100	62,300	42,200	0	0	0	0
FEDERAL FUNDS	1,260,000	1,811,000	1,776,000	1,754,600	1,800,500	729,800	218,000	410,100	372,500	405,500
ICF/MR Funds	0	0	0	0	0	0	0	0	0	8,200
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	8,200
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	0	63,400	154,500	231,300
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	63,400	154,500	231,300
Title XX / SSBG Funds	85,000	369,000	386,000	228,200	249,200	168,900	0	0	0	0
Other Federal Funds	1,175,000	1,442,000	1,390,000	1,526,400	1,551,300	560,900	218,000	346,700	218,000	166,000
FEDERAL INCOME MAINTENANCE	2,039,000	2,303,000	2,650,000	3,065,000	3,768,000	4,246,000	4,583,000	5,011,000	5,825,000	6,103,000
Suppl. Security Income (SSI)	992,000	1,139,000	1,293,000	1,453,000	1,744,000	1,993,000	2,151,000	2,497,000	2,969,000	3,167,000
Childhood Disability (SSDI)	1,047,000	1,164,000	1,357,000	1,612,000	2,024,000	2,253,000	2,432,000	2,514,000	2,856,000	2,936,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
Daily Institutional Population	562	509	464	435	410	391	380	344	327	301
Institutional Per Diem	44.33	52.55	61.18	69.91	82.30	90.97	105.87	113.07	119.28	136.40

IDAHO

TEHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services in Idaho are administered by the Division of Community Rehabilitation in the Department of Health and Welfare.

Budget Format. The budget categories for MR/DD were in the following format:

- Department of Health and Welfare
  - Division of Community Rehabilitation
  - Program 74: Community Developmental Disability Services
  - Expenditure Summary: By source
    - General
    - Miscellaneous Receipts
    - Cooperative Welfare (F)
  - Program 75: Institutional Developmental Disability Services
    - General
    - Miscellaneous Receipts
    - Cooperative Welfare (F)

Expenditures were also displayed by object: Personnel Costs, Operating Expenditures, Capital Outlay, and Trustee and Benefit Payments.

Beginning with the FY 1982 budget (actual FY 1980 figures), the fund source categories for both community and institutional Services changed to:

- General
- Federal
- Enterprise

In the FY 1983 budget, the funding category "Other" was added. The category "Miscellaneous Receipts" (changed to "Enterprise Fund" for FY 1980 only) included ICF/MR funds--both Federal and state share--and patient private pay receipts. The "Cooperative Welfare Fund" (which became the "Federal" category in FY 1980) was a general category for Federal or state program funds, such as Title XX/SSBG and DDSA. The federal share of ICF/MR funding was also included under the "Federal" category beginning in FY 1981.

Note on Data Sources. Actual expenditure figures for FYs 1977-83 were obtained from the Executive Budgets for FYs 1979, '81 and '82; and from the FY 1984 Legislative Budget Book.

Average daily population figures for the Idaho State School and Hospital were provided by D. Chuckavich and D. Nelson (p.c., telephone, 4/17/84.)

FY 1984 and FY 1985 (actual) and FY 1986 (estimated expenditure) figures for community services, and expenditure as well as average daily population figures for the Idaho State School and Hospital were obtained from Theresa Hartman-Jones, Budget Analyst, Department of Health and Welfare (p.c., telephone, 4/15/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of one state institution, the Idaho State School and Hospital.

State General Funds were recorded as "General" in the budget documents. For FY 1977-80 the following amounts of state share of ICF/MR funding (which was under the "Miscellaneous Receipts" and "Enterprise" categories in the budget) were included with the State General Fund category ($ in thousands).

State Fiscal Year	State Share ICF/MR
1977	$2,252
1978	2,718
1979	2,945
1980	3,079

Other State Funds. Included in the state budget category "Miscellaneous Receipts" was ICF/MR state and Federal share and patient private pay receipts. According to the Budget Analyst for the Division of Community Rehabilitation (p.c., telephone, 9/27/83), an exact figure for patient receipts was not easily obtainable, but it was estimated to be approximately $500 thousand per year. Therefore, this amount was subtracted from the total "Miscellaneous Receipts" category for FY 1977-80 and was recorded under Other State Funds. Also in this category was approximately $5 thousand per year from donations, and, for FYs 1981-84, rent payments from farmland owned by the institution.

Federal ICF/MR. Beginning in FY 1981, the federal share was reported separately in the budget documents under the category "Federal." Also included, from FY 1981-84, were Federal Title I, ESEA funds, estimated at 1-2% of the Federal category; these were reassigned to the analysis category Other Federal Funds.

Other Federal Funds consisted of the "Cooperative Welfare Fund" (FY 1977-79). According to the Division Budget Analyst (p.c., 9/27/83), the funds appearing in this category under the Idaho State Training School represented small federal programs such as Title I, ESEA. In FYs 1981-84, as noted above, 1.5% of the "Federal" category was estimated for the Title I federal education program.

III. COMMUNITY SERVICES FUNDS

Community services included: (1) day activity programs at the Adult and Child Development Centers (ACDC's) across the state, which were run by the 7 Regional Offices; (2) the 7 Regional Offices; and (3) the DD Council. These programs were categorized under "Community DD Services" in the Executive Budget.

State General Fund. Community DD services as reported in the budget documents also included centralized state administration. In accordance with the general definitions of this study, these administration costs were excluded, in the following amounts ($'s in thousands):

State Fiscal Year	Administrative Costs
1977	$ 250
1978	250
1979	250
1980	250
1981	307
1982	351
1983	405
1984	252

Other State Funds consisted of client fees, insurance, and donations. In the Executive Budget, these funds were combined with Medicaid receipts under the "Other" category.

Private ICF/MR. Expenditure figures were provided by Dick Humiston, Medical Assistance Payments Division, Department of Health and Welfare (p.c., telephone, 10/4/83) for FY 1977-83. Expenditures for FY 1984 (actual) were obtained from Steve Meier, Audit Supervisor, Office of Audit, Division of Welfare (p.c., telephone, 4/7/86). He provided, for each facility, the number of beds, and recommended that our project utilize the Consumer Price Index to project FY 1985 and FY 1986 expenditures. (We utilized the State and Local Sub-index of the Bureau of Economic Analysis' Implicit Price Deflator.) In FY 1984, there were twelve ICFs/MR Small, ranging in size from five beds to fifteen beds, average size 8.2 beds, weighted average per diem $57.45. The three large facilities were 24, 28, and 30 beds, weighted average per diem $54.23.

To determine the proportionate expenditures for Small and Large facilities in previous years (FY 1977-83), we utilized the increment between FY 1984 and FY 1985 in ICF/MR Small expenditures (2.2%) and extrapolated to prior years on the basis of this percentage.

Title XIX Day Program. These funds were reimbursements for services at the Adult and Child Development Centers (ACDC's).

Federal Title XX/SSBG. Title XX/SSBG funds were classified under the "Cooperative Welfare Fund" and under "Federal" funds in the Executive Budget, for the FY 1977-78 and the FY 1979-84 periods, respectively. The state matching funds were included in the General Fund.

Other Federal Funds. Other Federal Funds included DD Council funds. Idaho is a minimum allotment state for DDSA, so the minimum grant amount ($250 thousand), was included each year in this line. In the Executive Budget, these DD Council funds were classified under "Cooperative Welfare Fund" and "Federal" funds. For FYs 1984-86, Other Federal Funds consisted of Developmental Disabilities grant funds, and Early Education Incentive grants.

Title XIX Day Program. The ACDCs provided medical services to clients with developmental disabilities (in addition to day activity services, case management and diagnostic services funded by GF and Title XX).

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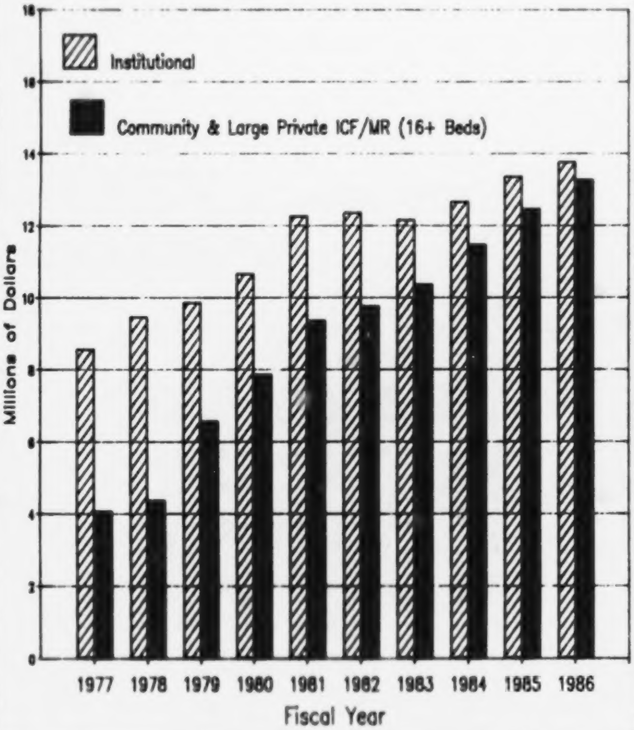
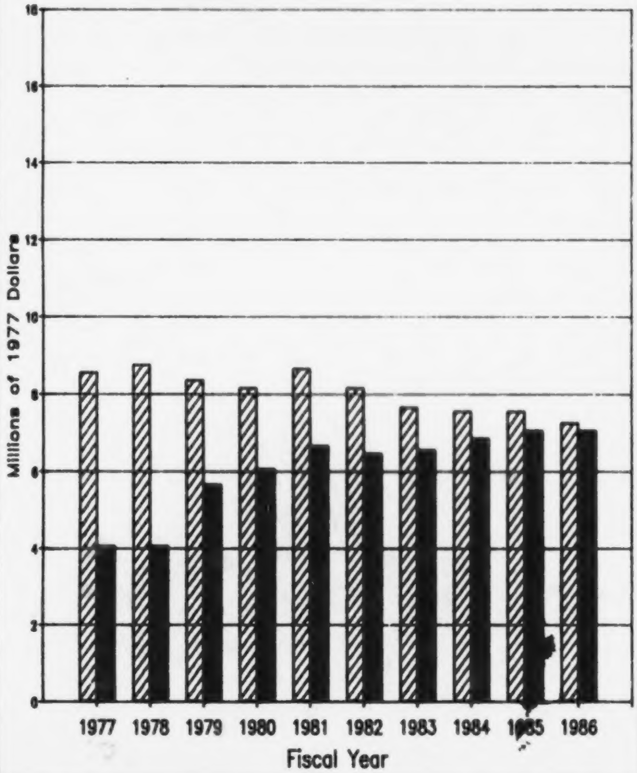
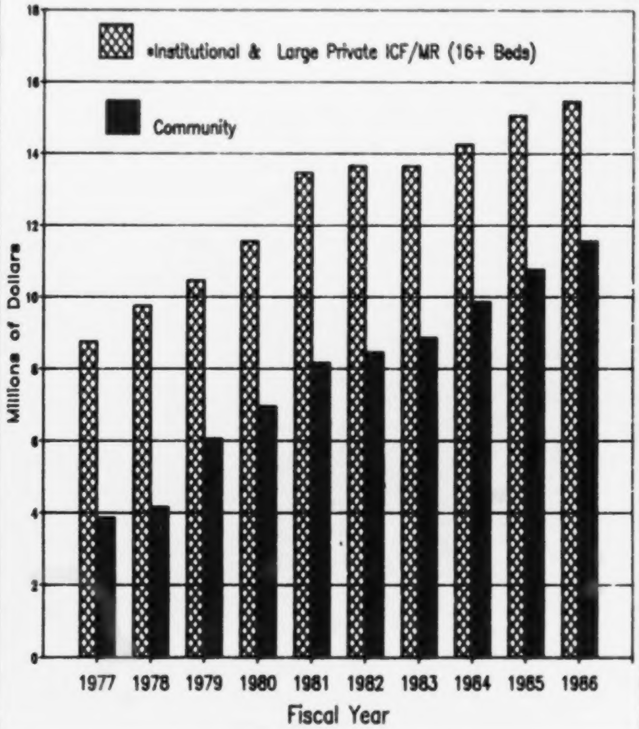
MR/DD Expenditures for *Institutional* & *Community* Services



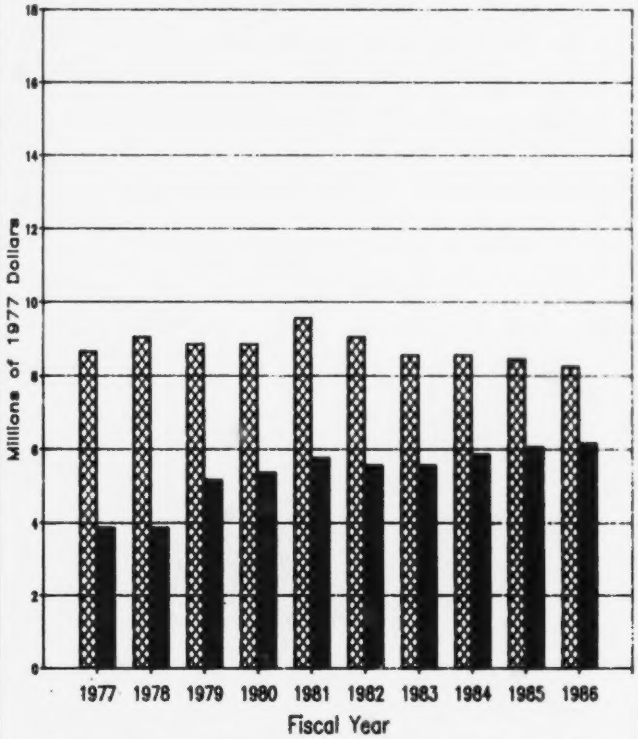
Adjusted for Inflation



MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

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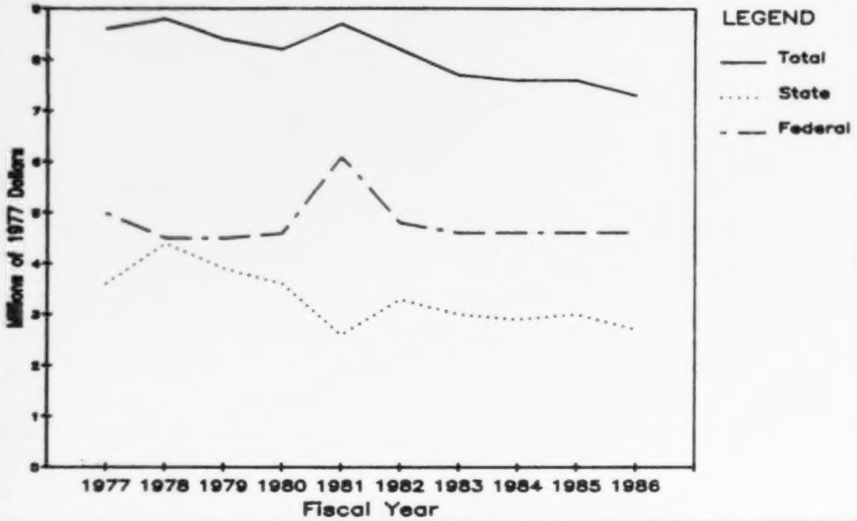
Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86



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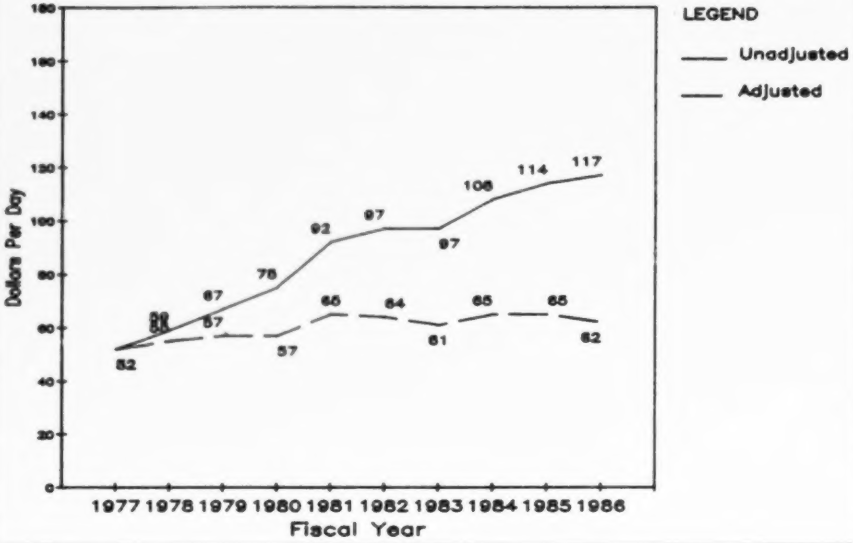
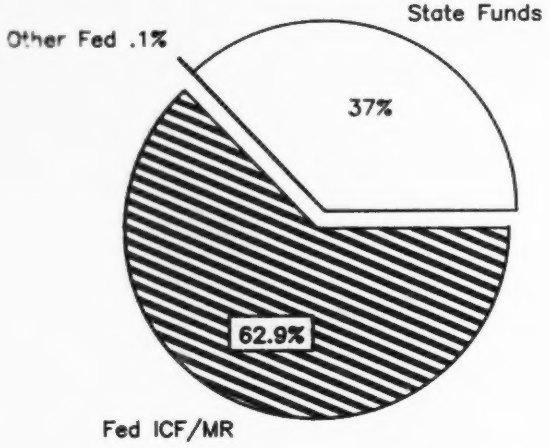
Institutional Per Diem Costs: FY 1977–86

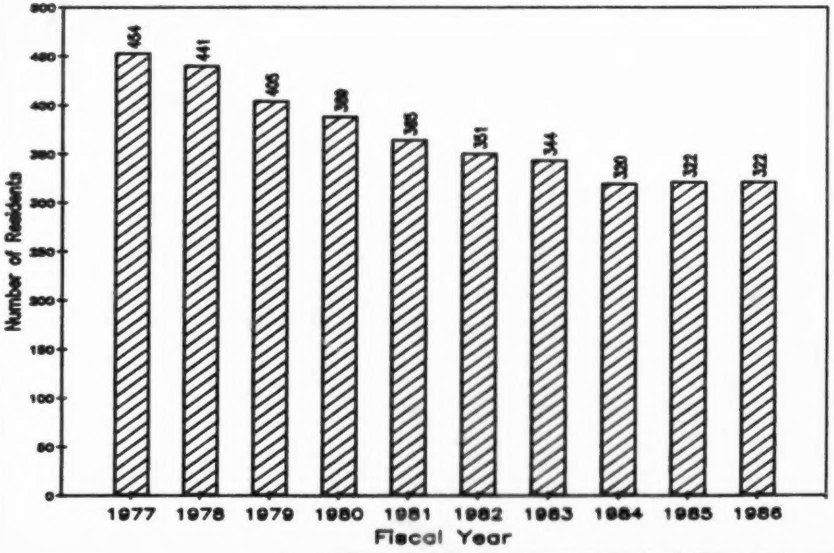


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $13.8 Million

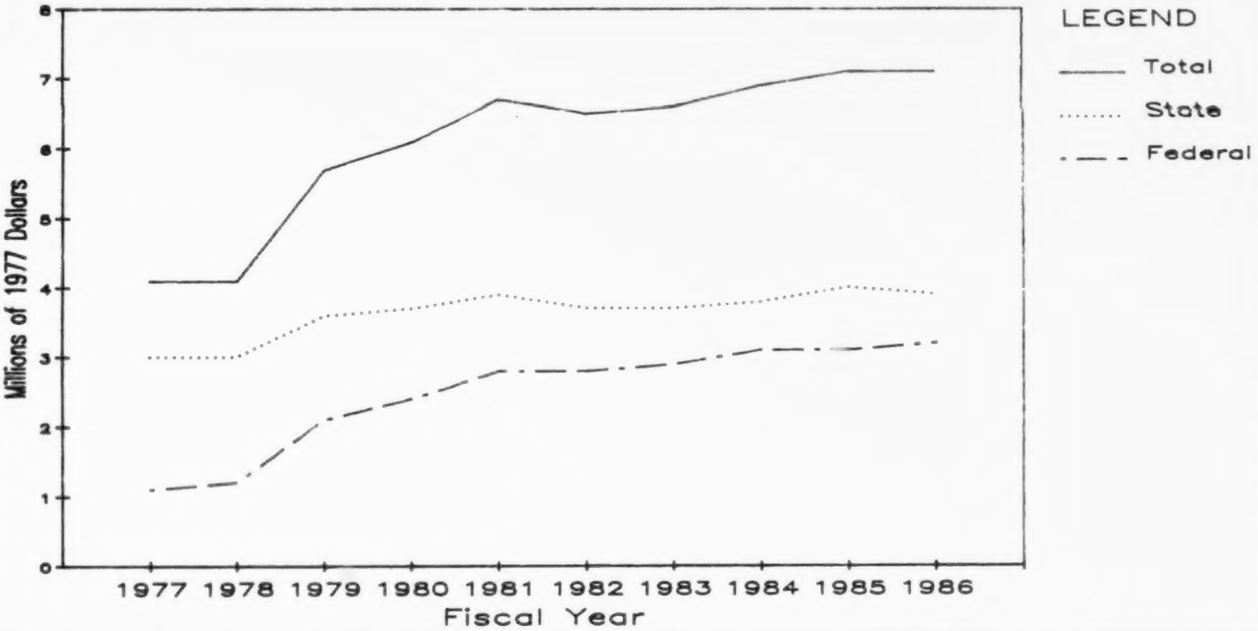
Average Daily Residents in Institutions



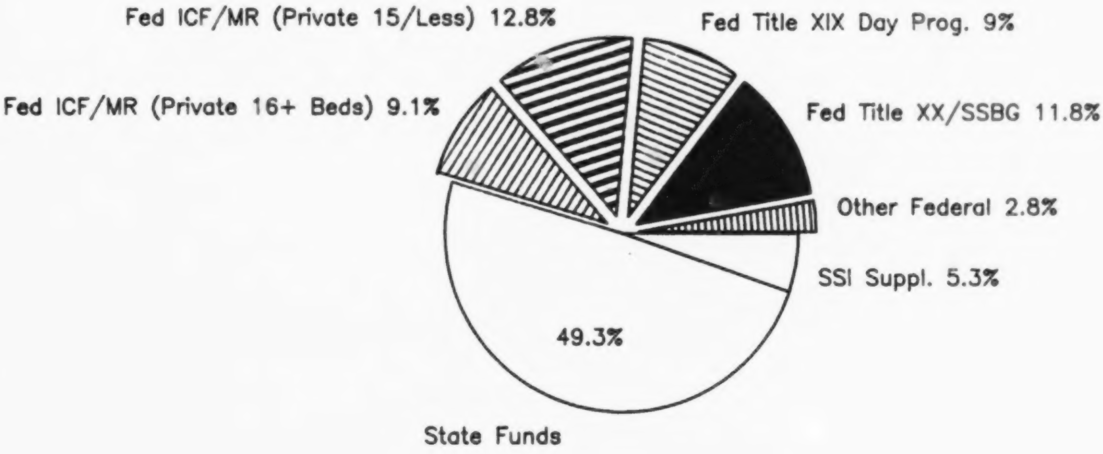
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

IDAHO

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

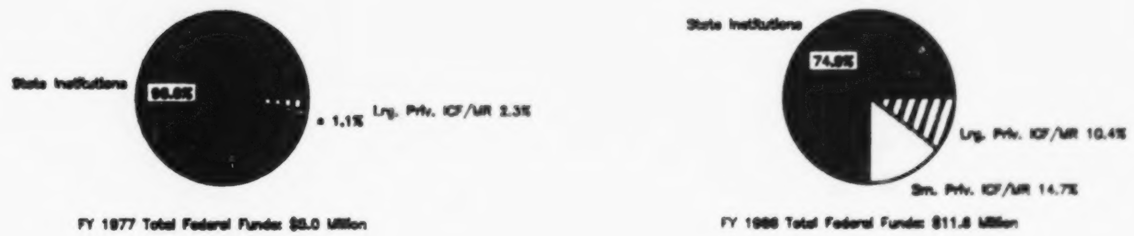


FY 1986 Total Funds: $13.3 Million

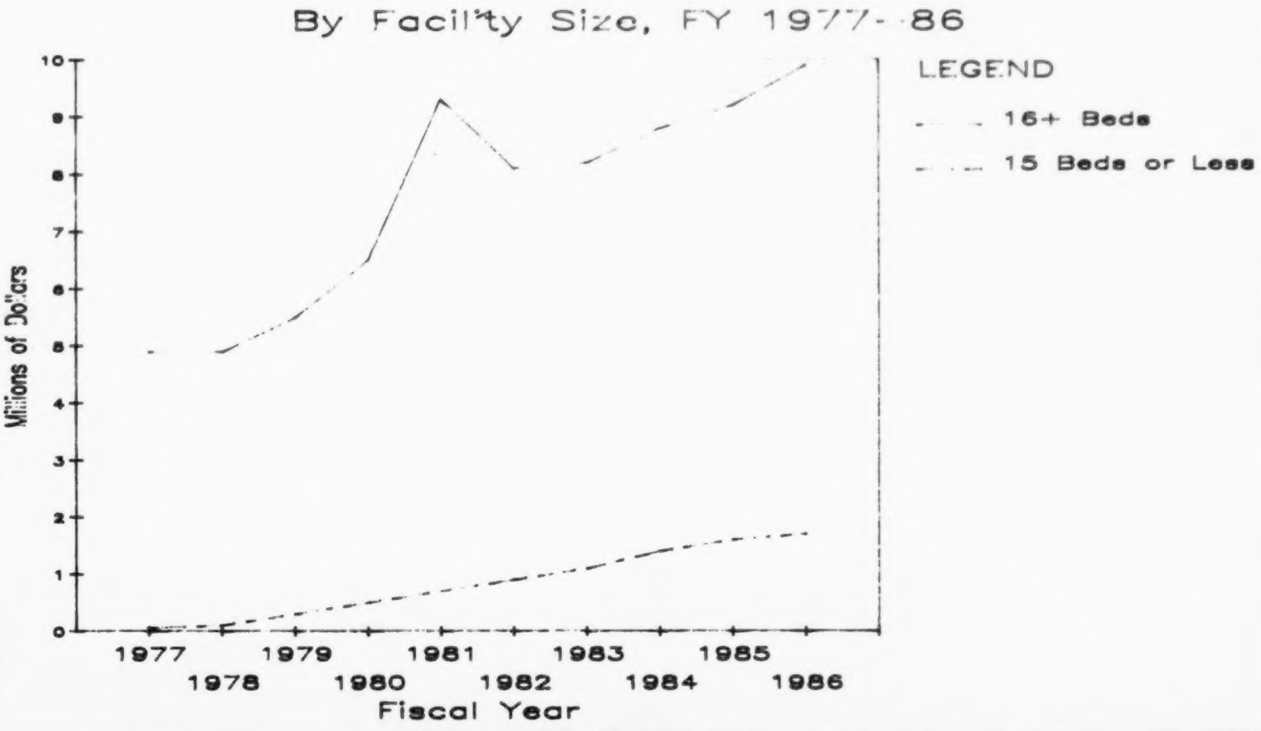
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

IDAHO

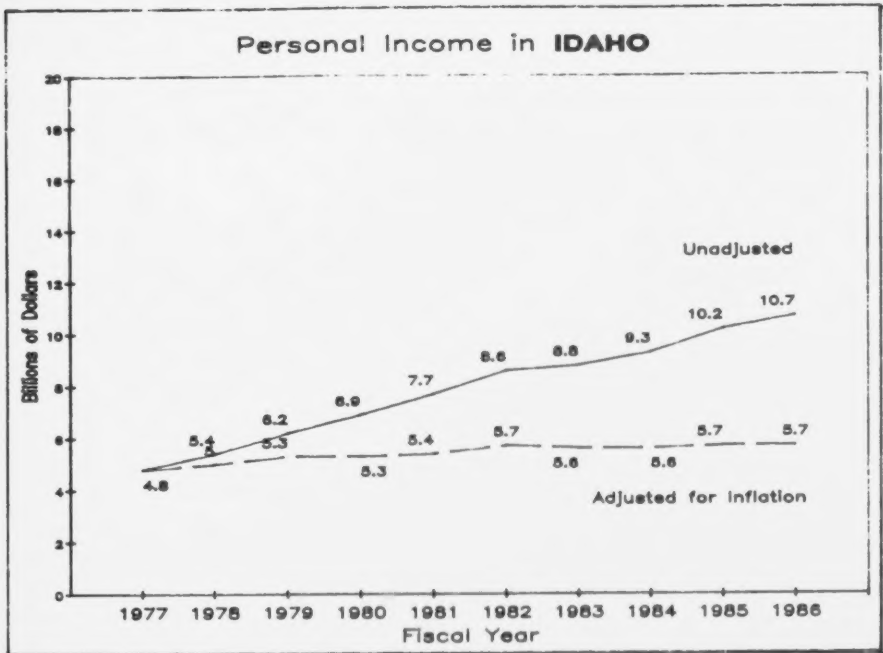
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



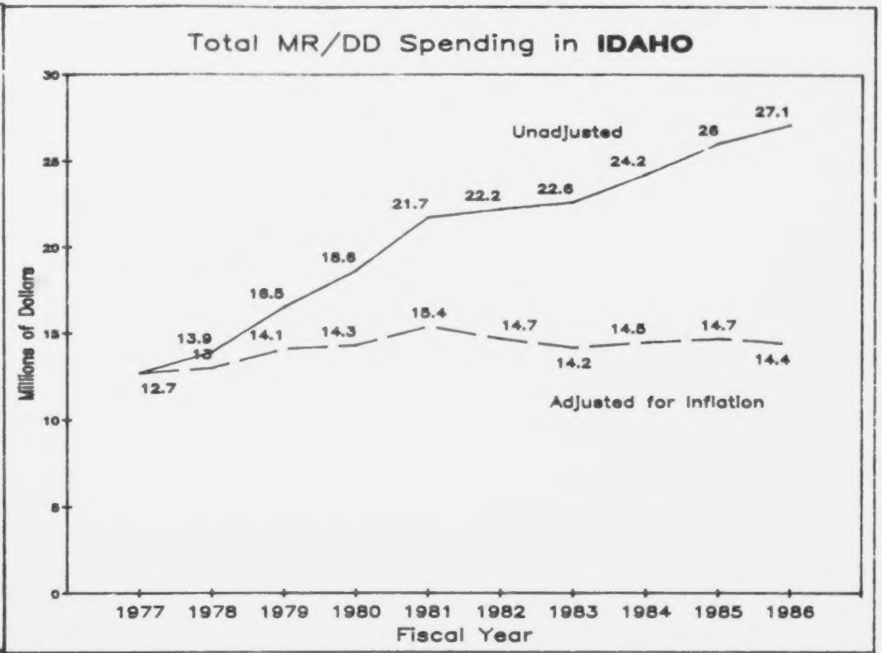
* Small Private ICF/MR in FY 1977



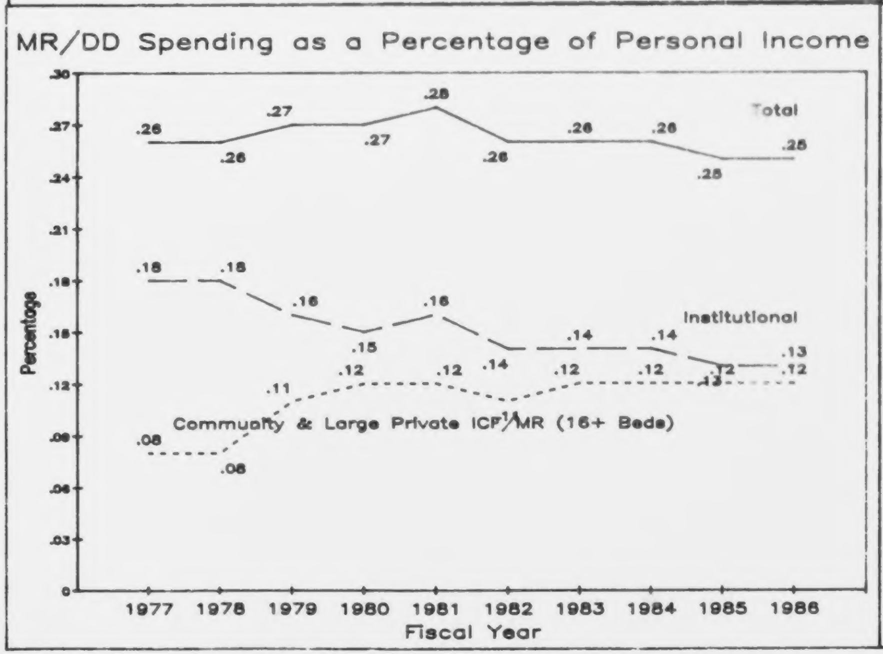
Source: Policy Analysis Program, U of Illinois at Chicago UAP, 1986



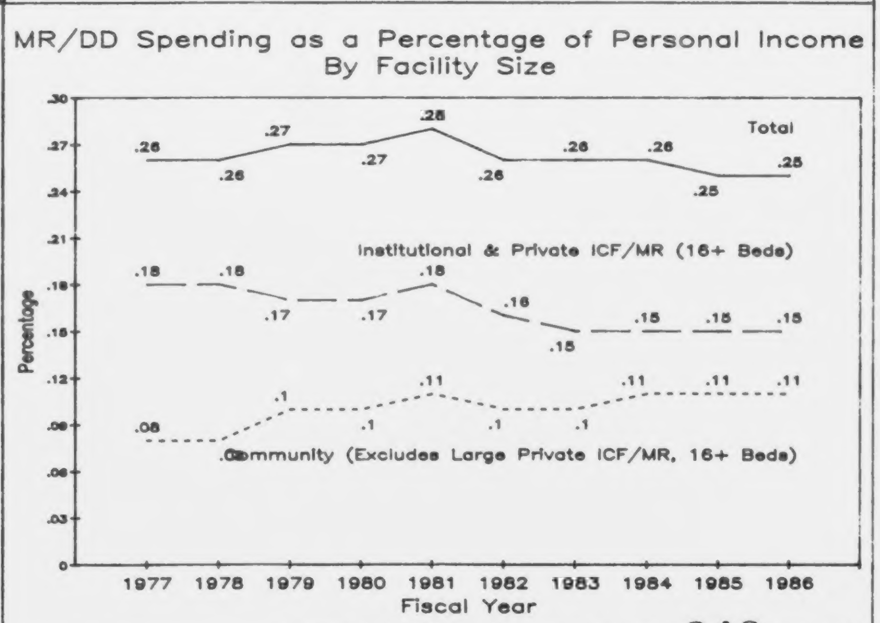
Personal Income in **IDAHO**



Total MR/DD Spending in **IDAHO**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

IDAHO 4/17/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	15,668,000	17,125,000	20,034,000	22,519,000	26,644,000	27,832,000	27,679,000	30,872,800	34,161,000	35,123,300
TOTAL INSTITUTIONAL/COMMUNITY	12,702,000	13,954,000	16,559,000	18,600,000	21,735,000	22,236,000	22,630,000	24,277,800	26,001,000	27,114,300
STATE FUNDS	6,624,000	7,915,000	8,894,000	9,560,000	9,145,000	10,708,000	10,705,000	11,335,200	12,415,200	12,399,300
General Funds	5,559,000	6,840,000	7,753,000	8,340,000	7,744,000	9,310,000	9,312,000	9,816,300	10,820,900	10,594,100
SSI State Supplement	405,000	452,000	487,000	537,000	588,000	575,000	612,000	660,000	698,000	752,000
Other State Funds	660,000	623,000	654,000	683,000	813,000	823,000	781,000	858,900	896,300	1,053,200
FEDERAL FUNDS	6,078,000	6,039,000	7,665,000	9,040,000	12,590,000	11,528,000	11,925,000	12,942,600	13,585,800	14,715,000
Title XIX Funds	5,468,000	5,396,000	6,235,000	7,492,000	10,666,000	9,761,000	10,110,000	11,078,200	11,689,300	12,770,600
Title XX / SSBG Funds	202,000	335,000	1,080,000	1,230,000	1,545,000	1,408,000	1,455,000	1,478,700	1,564,600	1,564,600
Other Federal Funds	408,000	308,000	350,000	318,000	379,000	359,000	360,000	385,700	331,900	379,800
INSTITUTIONAL SERVICES FUNDS	8,592,000	9,491,000	9,886,000	10,652,000	12,305,000	12,367,000	12,172,000	12,695,400	13,425,100	13,778,700
STATE FUNDS	3,611,000	4,690,000	4,645,000	4,688,000	3,664,000	5,045,000	4,832,000	4,922,500	5,359,000	5,096,900
General Funds	3,111,000	4,190,000	4,145,000	4,188,000	3,072,000	4,474,000	4,311,000	4,305,300	4,734,000	4,396,900
Other State Funds	500,000	500,000	500,000	500,000	592,000	571,000	521,000	617,200	625,000	700,000
FEDERAL FUNDS	4,981,000	4,801,000	5,241,000	5,964,000	8,641,000	7,322,000	7,340,000	7,772,900	8,066,100	8,681,800
Federal ICF/MR	4,823,000	4,743,000	5,141,000	5,896,000	8,512,000	7,213,000	7,230,000	7,763,300	8,056,500	8,672,200
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	158,000	58,000	100,000	68,000	129,000	109,000	110,000	9,600	9,600	9,600
COMMUNITY WITH FEDERAL INCOME MAINT	7,076,000	7,634,000	10,148,000	11,867,000	14,339,000	15,465,000	15,507,000	18,177,400	20,735,900	21,344,600
COMMUNITY SERVICES FUNDS	4,110,000	4,463,000	6,673,000	7,948,000	9,430,000	9,869,000	10,458,000	11,582,400	12,575,900	13,335,600
STATE FUNDS	3,013,000	3,225,000	4,249,000	4,872,000	5,481,000	5,663,000	5,873,000	6,412,700	7,056,200	7,302,400
General Funds	2,448,000	2,650,000	3,608,000	4,152,000	4,672,000	4,836,000	5,001,000	5,511,000	6,086,900	6,197,200
SSI State Supplement	405,000	452,000	487,000	537,000	588,000	575,000	612,000	660,000	698,000	752,000
Other State Funds	160,000	123,000	154,000	183,000	221,000	252,000	260,000	241,700	271,300	353,200
FEDERAL FUNDS	1,097,000	1,238,000	2,424,000	3,076,000	3,949,000	4,206,000	4,585,000	5,169,700	5,519,700	6,033,200
ICF/MR Funds	168,000	286,000	632,000	1,049,000	1,493,000	1,794,000	2,101,000	2,457,700	2,780,300	2,908,800
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	54,100	108,700	261,700	455,400	697,800	902,400	1,127,400	1,373,200	1,630,500	1,705,800
Large Private	113,900	177,300	370,300	593,600	795,200	891,600	973,600	1,084,500	1,149,800	1,203,000
Other Title XIX Funds	477,000	367,000	462,000	547,000	661,000	754,000	779,000	857,200	852,500	1,189,600
Title XIX Day Programs	477,000	367,000	462,000	547,000	661,000	754,000	779,000	857,200	852,500	1,189,600
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	202,000	335,000	1,080,000	1,230,000	1,545,000	1,408,000	1,455,000	1,478,700	1,564,600	1,564,600
Other Federal Funds	250,000	250,000	250,000	250,000	250,000	250,000	250,000	376,100	322,300	370,200
FEDERAL INCOME MAINTENANCE	2,966,000	3,171,000	3,475,000	3,919,000	4,909,000	5,596,000	5,049,000	6,595,000	8,160,000	8,009,000
Suppl. Security Income (SSI)	2,044,000	2,146,000	2,280,000	2,500,000	3,127,000	3,613,000	2,908,000	4,382,000	5,304,000	5,425,000
Childhood Disability (SSDI)	922,000	1,025,000	1,195,000	1,419,000	1,782,000	1,983,000	2,141,000	2,213,000	2,856,000	2,584,000
F.F.P. Rate	68.18%	64.73%	63.58%	65.17%	65.70%	65.50%	65.43%	66.82%	67.28%	69.36%
Daily Institutional Population	454	441	405	389	365	351	344	320	322	322
Institutional Per Diem	51.85	58.96	66.88	74.82	92.36	96.53	96.94	108.40	114.23	117.24

ILLINOIS

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services in Illinois are administered by the Division of Developmental Disabilities of the Department of Mental Health and Developmental Disabilities (DMH/DD). The separate Division of DD and the amending of the name of the Department of Mental Health occurred in 1974.

Budget Format. The sections of the Illinois State Budget that pertained to MR/DD services were formated as follows:

Department of Mental Health and Developmental Disabilities

- Appropriations Requiring General Assembly Action
  - General Revenue Fund
  - Mental Health Fund
  - DMH/DD Federal Projects
- Other Resources
  - Federal Labor Projects
  - Amusement Fund
  - Gifts, Donations, and Bequests

(Note: These same funding sources were listed under each of the following program divisions in the Department.)

- Divisions:
  - Region I Field Services (and five others)
  - Dixon Developmental Center (and all other MR & MH state institutions)
  - Community Based Programs for DD

Note on Data Sources. For the FY 1977-84 analysis, information obtained from budget documents was supplemented in a series of telephone interviews with officials of the DMH/DD and of the Illinois Department of Public Aid (for Private ICF/MR and Title XX/SSBG expenditure data). Expenditure figures for FY 1984 (actual), FY 1985 (actual) and FY 1986 (estimated spending based on appropriations) were obtained from Linda Whitehead, Budget Office, Department of Mental Health/Developmental Disabilities (p.c., telephone, 2/28/86). In response to our request to exclude from analysis of institutional spending any central office overhead costs or community services costs, Whitehead identified for these three years the expenditure amounts for Region Offices (which provided community services oversight, development and funding); for the Governor's Planning Council for Developmental Disabilities; and for the DMH/DD Central Office.

For example, for FY 1986, the amounts excluded for these three functions were, respectively, $3,858, $4,483, and $11,398 thousand. (Note: for the

FY 1977-83 analysis, we revised institutional services expenditures to reflect the exclusion of such central office or community-related expenditures, utilizing information from the Governors' budget documents.) FY 1984-86 Federal ICF/MR revenue estimates were obtained from Rose Cannata, Office of Management and Budget, DMH/DD (p.c., telephone, 8/28/85). Average daily resident figures for the developmental centers and mental health/developmental disabilities centers were obtained from DMH/DD Monthly Statistics documents.

Fiscal Year 1984 (actual), FY 1985 (actual) and FY 1986 (estimated spending) figures for DMH/DD-managed community programs were provided (unless otherwise noted) by Lynn Handy, Division of Developmental Disabilities (p.c., correspondence, 2/28/86). Utilizing FY 1986 as an example, the community services expenditure components (including Federal or other revenues supplanting General Funds) were (all $s in thousands):

General Fund
- Grants-in-Aid: $40,589.0
- Purchase of Care in Private Residential Facilities: $21,283.5
- Community Inititiative, or Community-Care Waiver: $8,400.0
- Regional Offices [Institutional Services reduced]: $3,858.4
- "Aging Out," for residential options for individuals graduating from special school programs--first year of program: $1,750.0
- Developmental Training (DT): $19,994.4
- Private ICF/MR State Funds Match (in Illinois Department of Public Aid budget--p.c., Jim Hunter, IDPA, 2/28/86): $24,750.0

Other State Funds
- Mental Health Fund for Purchase of Care: $9,419.9
- Private 25% Match for Social Service Block Grant (SSBG) Donated Funds Initiative (DFI) services (p.c., Donna Gram, Office of Management and Budget, DMH/DD, 2/27/86): $513.4

Federal Funds
- Private ICF/MR "Small" (15 Beds or Less) Federal Match Funds (p.c., J. Hunter, IDPA, 4/8/86): $2,326.3
- Private ICF/MR "Large" (16 Beds or Larger) Federal Match (p.c., J. Hunter, IDPA, 4/8/86): $22,423.7
- Social Service Block Grant DFI revenue: $1,540.3
- Title XIX Day Program (Federal revenue anticipated under the Developmental Training Program: $10,000.0
- Federal Title XIX reimbursements under the Community Initiative or Community Care Waiver: $5,200.0
- Other Federal Funds, consisting of DD Council Grants (p.c. Rosalie Steinhauer, Governor's Planning Council for DD, 2/27/86): $1,847.7; and Supportive Employment: $1,354.0--first year for this Department of Rehab Services Initiative.

Because of the addition of expenditure figures from other portions of the DMH/DD budget (e.g. Region Offices), or from other state agencies (e.g. Private ICF/MR spending and Social Services Block Grant DFI in the Illinois Department of Public Aid), these figures will not correspond directly with the DD community services figures displayed in the State of Illinois Governor's Budget documents. In addition, our analysis includes a modification of Developmental Training (DT) funds as reported by L. Handy in her 2/28/86 correspondence. She reported that of a total estimated spending for this program of $70,908 thousand, that $29,994 thousand consisted of General Fund, and the balance, $40,913 thousand, consisted of an appropriation to the Mental Health Fund to allow for "advance payments to day programs." The latter amount, which serves as a revolving fund, was not included in this analysis. The estimated GF amount ($29,994 thousand) was offset by an estimated $10,000.0 of anticipated Federal Title XIX revenue, which was entered as "Title XIX Day Program" in the Federal Funds section of our analysis.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the funds supportive of operations of the following developmental centers: Howe, Ludeman, Waukegan, Dixon (phased out in 1982 except for a 100-bed facility newly constructed), Lincoln, Murray, Shapiro, Bowen (closed), Adler (closed), Fox and the Illinois Institute for DD, a research and training facility, . Virtually all residents of these facilities were individuals with developmental disabilities. A significant number of the residents served in several other state "Mental Health Centers" or "Mental Health and Developmental Centers" were also persons with primary developmental disabilities diagnoses. These facilities, with the 1984 percentage of clients with developmental disabilities served therein, were as follows: Jacksonville (100%); Galesburg (49%); Anna (56%); Singer (19%); Elgin (11%); Meyer (34%); Alton (44%).

Federal ICF/MR funding in Illinois commenced in 1974.

Other Federal Funds in our analysis consisted of various Federal project grants, as reported in the Governor's Budget documents.

III. COMMUNITY SERVICES FUNDS

Community services included Illinois DMH/DD appropriations from General Revenue; collections from private parties and bingo receipts (labeled Other State Funds in this analysis); and three types of federal funds: Title XIX revenues from the Medicaid Home and Community-Based Care Waiver; Private ICFs/MR; and Title XIX Day Program reimbursements, Title XX/Social Services Block Grant funding, and several small federal grants including DD Act funds, categorized Other Federal Funds in this analysis. The method used for computing Title XX/SSBG federal DD share expenditures was complicated, as described below.

Private ICF/MR funding levels were obtained from Geralyn Wiechert, Illinois Department of Public Aid, Medical Assistance Branch (p.c., correspondence, 9/15/83--for FY 1978-80). The figures were for the aggregate of ICF/MR 15 Beds and Under payments, ICF/MR 16 Beds and Over payments, and Specialized Living Centers (state constructed, privately leased and operated 50-100 bed facilities). (Skilled Nursing Facility/Pediatric Medicaid payments were excluded from the totals).

The Private ICF/MR "Small" figures for FY 1981 through FY 1986 were our estimates, based on facility numbers provided by J. Hunter (p.c., telephone, 4/8/86). He indicated that there were 28 facilities as of September, 1985, and that the most recent report with average per diem rates (statewide) showed $44.26/day for 25 facilities. He further indicated that a reasonable figure for FY 1986 would be 24 facilities, at an average of 12 beds. We utilized these estimates to calculate ICF/DD 15 Bed or Less expenditures for FY 1986. Hunter further indicated that there were 20 facilities in FY 1985, and 5 in FY 1984. Utilizing these facility numbers, we estimated the number of ICF/MR Small facility residents for FYs 1981-84, at an average size of 12 beds/facility, and deflated per diems utilizing the State and Local Subindex of the Bureau of Economic Analysis.

Federal Title XX/SSBG. The table below displays total Illinois Title XX Social Services funding for FY 1977-81; total reimbursement claimed or eligible for claims; and total eligible Mental Health and DD claimed funding for reimbursement. Over the early years of this analysis, approximately 85% of Title XX revenues for mentally disabled persons had been for DD individuals. Thus, the table applies this proportion to total Mental Health and DD Title XX expenditures. The notes below provide information sources, followed by an explanation of the procedures utilized to determine the DD Title XX Federal Share ($ in thousands):

	1	2	3	4	5
FISCAL YEAR	ILLINOIS ACTUAL FED. OBL.	TOTAL CLAIMED OR ELIGIBLE $	TOTAL ELIGIBLE $ MI + DD	TOTAL ELIGIBLE $ DD (@85%)	FEDERAL DD SHARE (est.)
1981	144,368	149,518	48,938	41,597	31,197
1980	140,347	140,347	43,387	36,879	27,659
1979	151,702	151,702	37,377	31,482	23,611
1978	118,781	130,750	29,651	25,203	18,902
1977	102,653	142,182	10,675	9,073	6,804

Notes to Table:

1. Column #1 and #2 source was DHHS Office of Human Development Services, Office of Program Coordination and Review (p.c., telephone, 9/15/83).

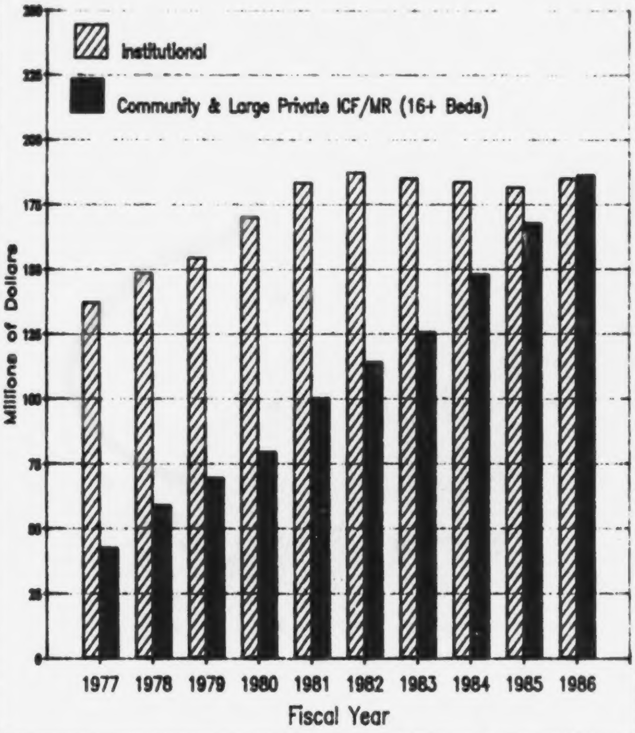
2. Columns #3 and #4 were obtained from the Illinois DMH/DD Management Section (p.c., telephone, B. Gray and T. McCarthy, 8/14/83). Approximately 85% of combined MI and DD Title XX reimbursement expenditures were attributable to DD services.

3. Column #5 reflects the Federal share of Title XX, or 75% of Column # 4. The state match (25%) for FY 1977-81 was included within the community services State General Fund line in our analysis.

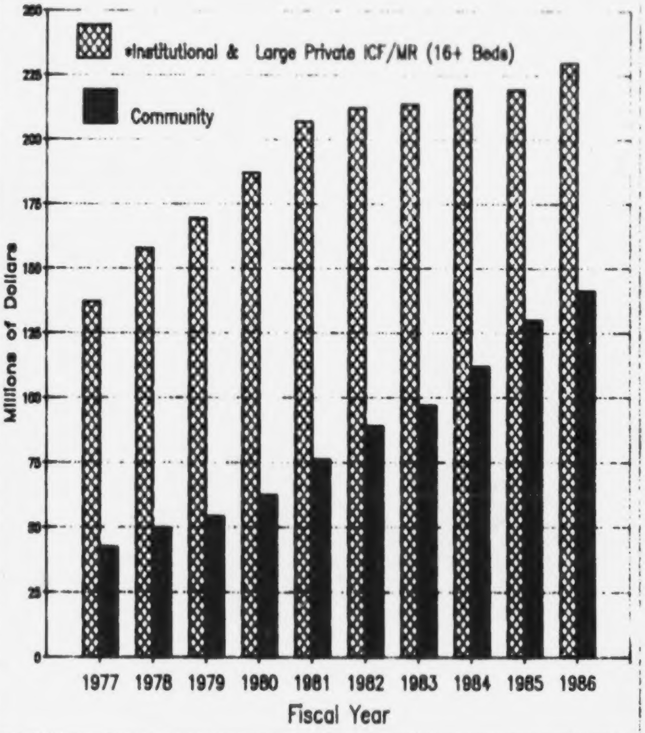
Our analysis indicates a significant drop between FY 1981 and FY 1982 in SSBG revenues, and a roughly corresponding increase in General Fund. According to D. Gram (p.c., 2/28/86), this was due to the fact that, with restrictions in SSBG revenues state-wide, there were more than sufficient "claims" for Federal revenue produced by services in other state agencies. Therefore, beginning in FY 1982, there were no longer SSBG revenues credited to DMH/DD community services, except for the relatively small amounts associated with the Donated Funds Initiative.

ILLINOIS

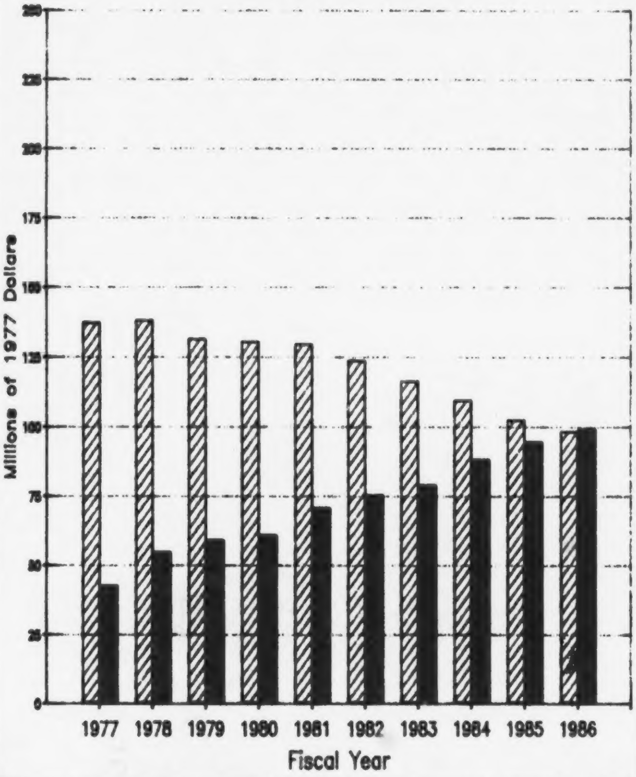
MR/DD Expenditures for *Institutional* & *Community* Services



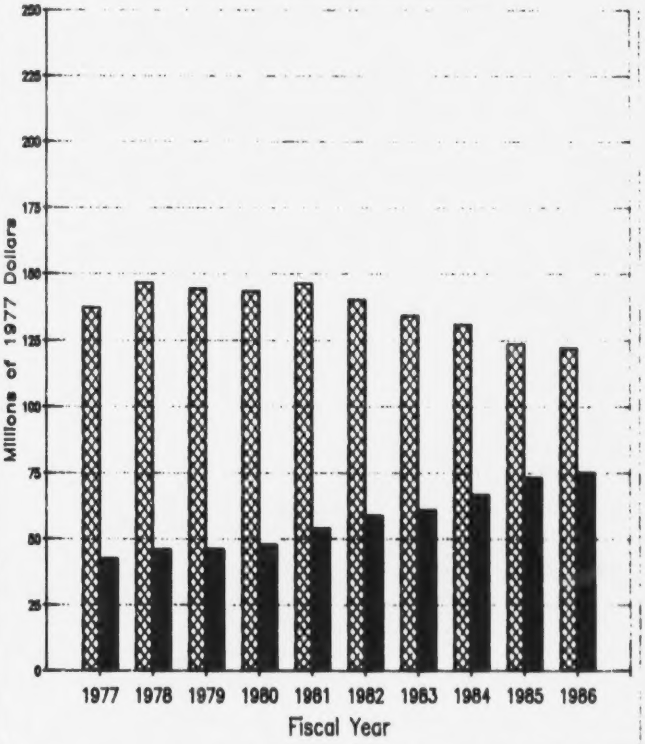
MR/DD Expenditures for Large Congregate* & Community Services



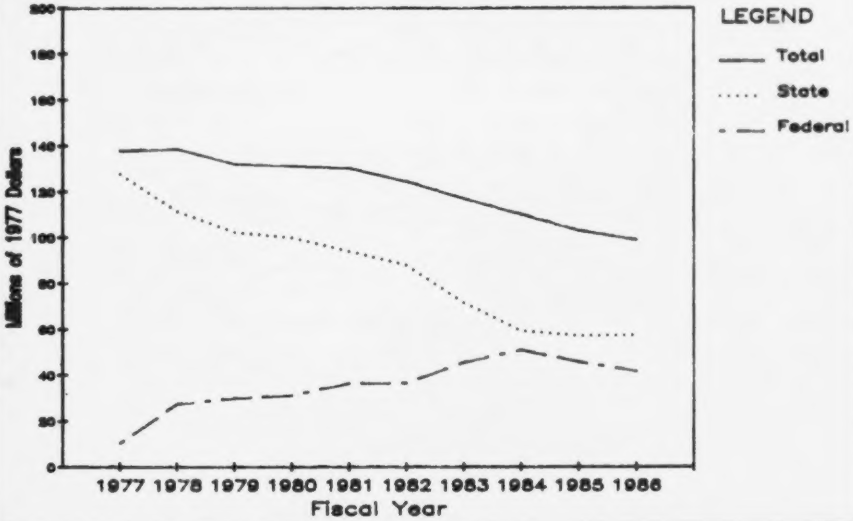
Adjusted for Inflation



Adjusted for Inflation

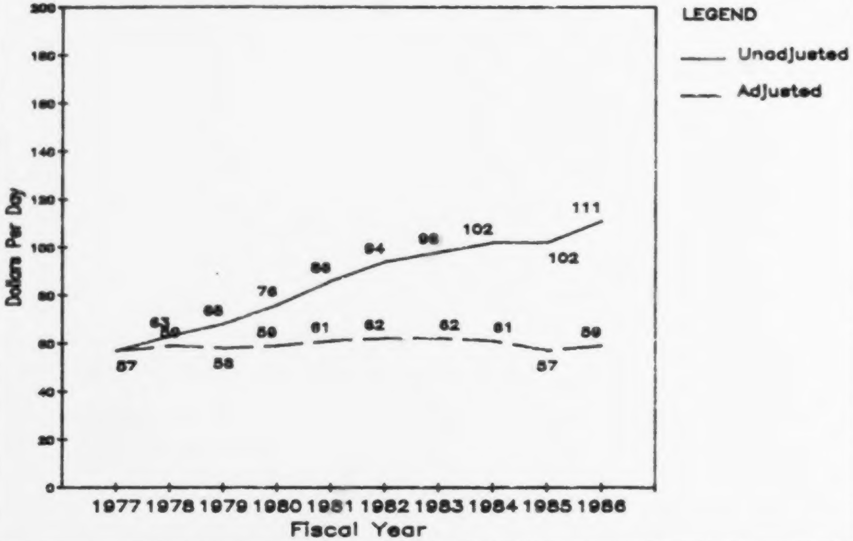


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988



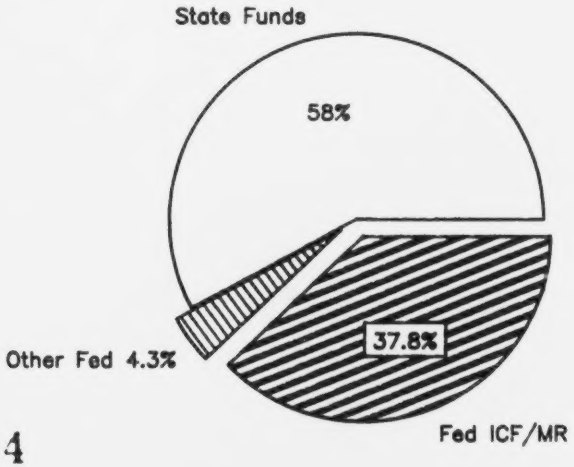
ILLINOIS

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86



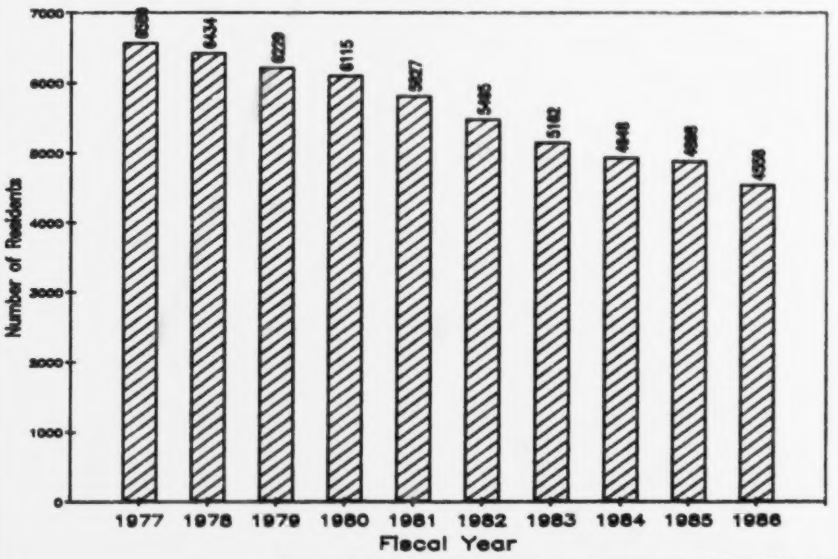
ILLINOIS

Institutional Per Diem Costs: FY 1977–86



Institutional Revenue Detail: FY 1986 (Unadjusted)

FY 1986 Total Funds: $185.4 Million

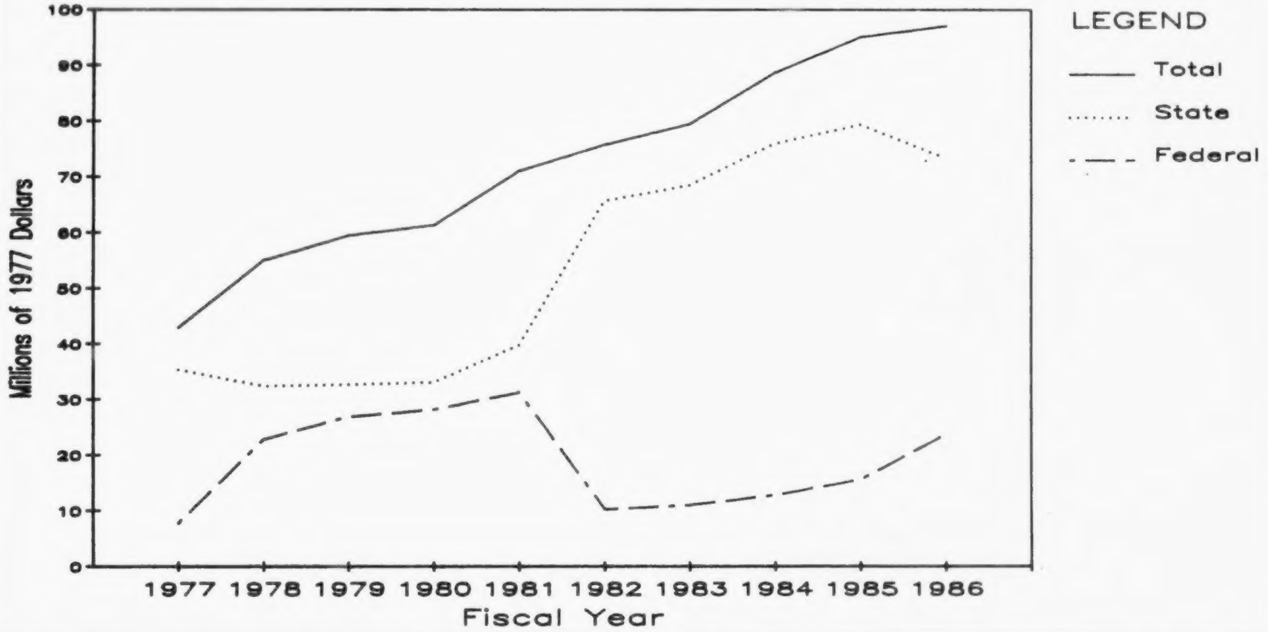


Average Daily Residents in Institutions

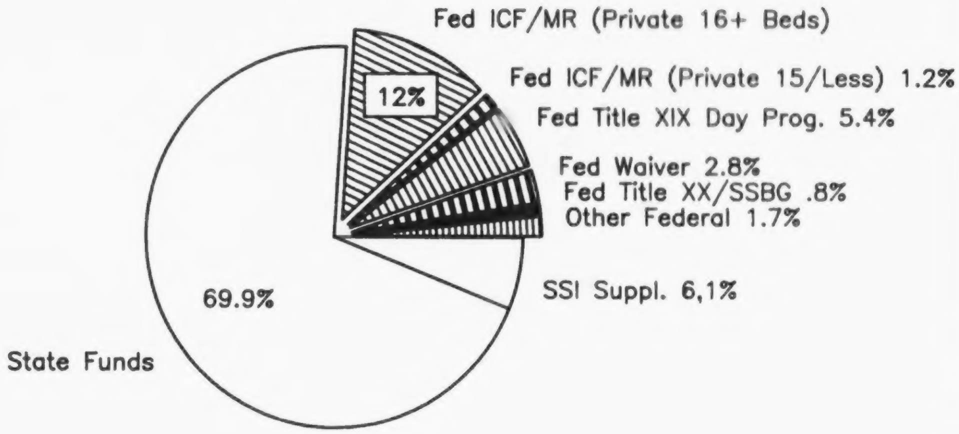
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

ILLINOIS

Community Spending Adjusted for Inflation
By Level of Government: FY 1977-86



Community Revenue Detail: FY 1986 (Unadjusted)

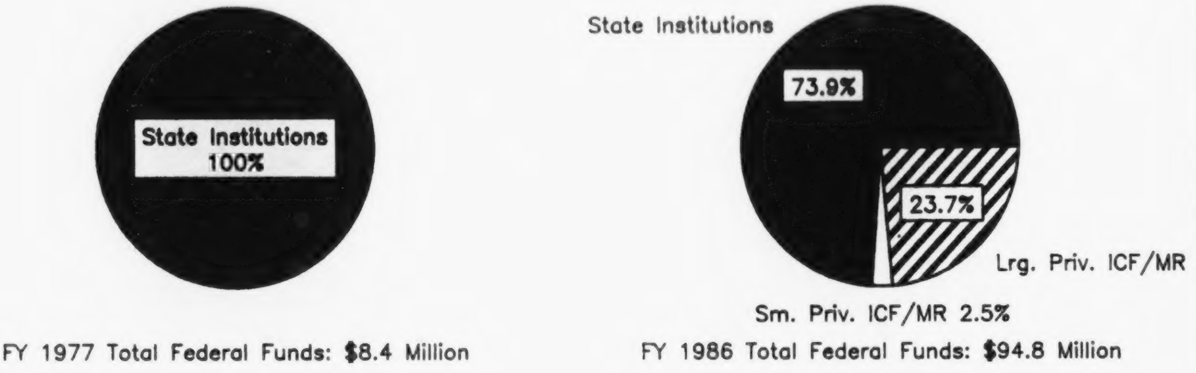


FY 1986 Total Funds: $186.7 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

ILLINOIS

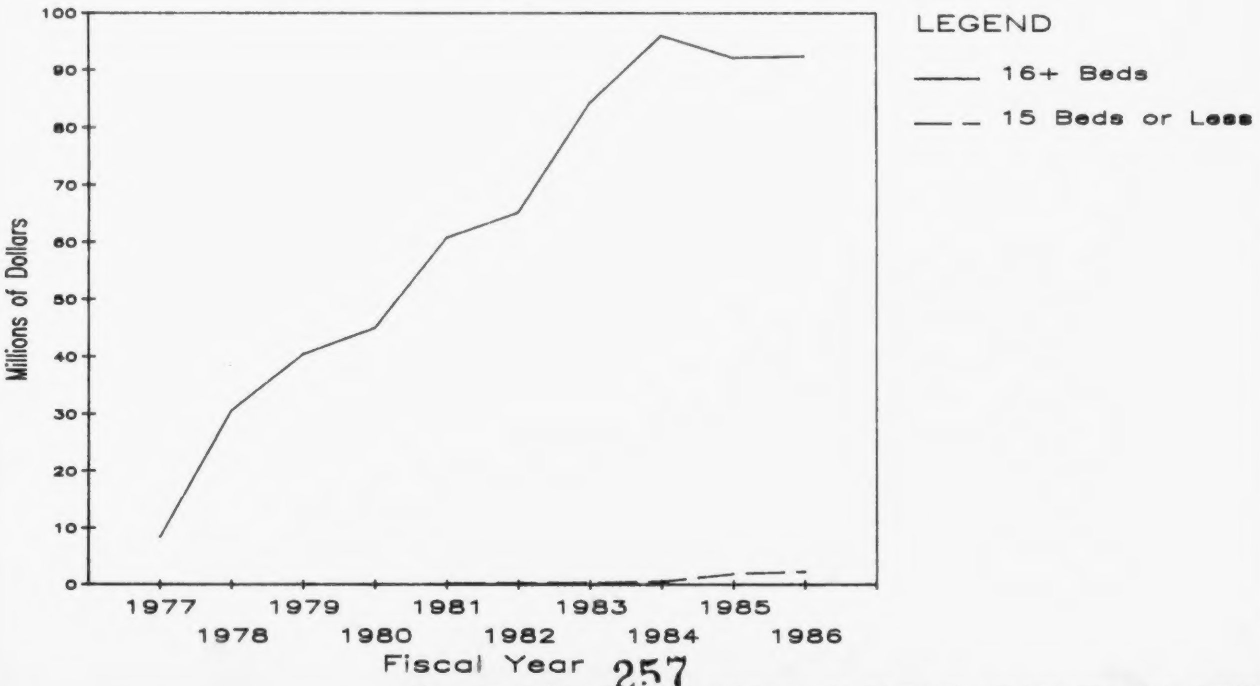
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



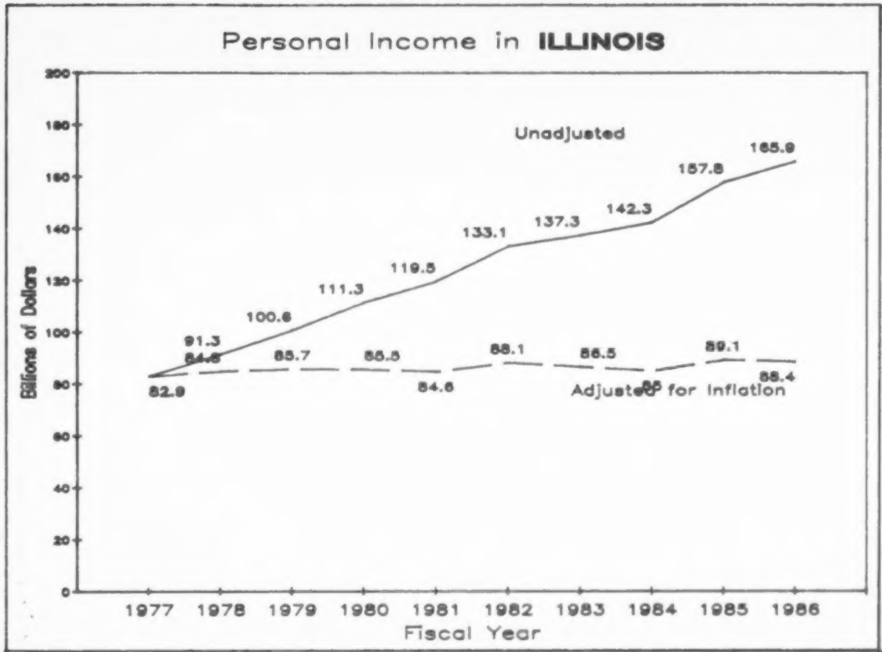
FY 1977 Total Federal Funds: $8.4 Million

FY 1986 Total Federal Funds: $94.8 Million

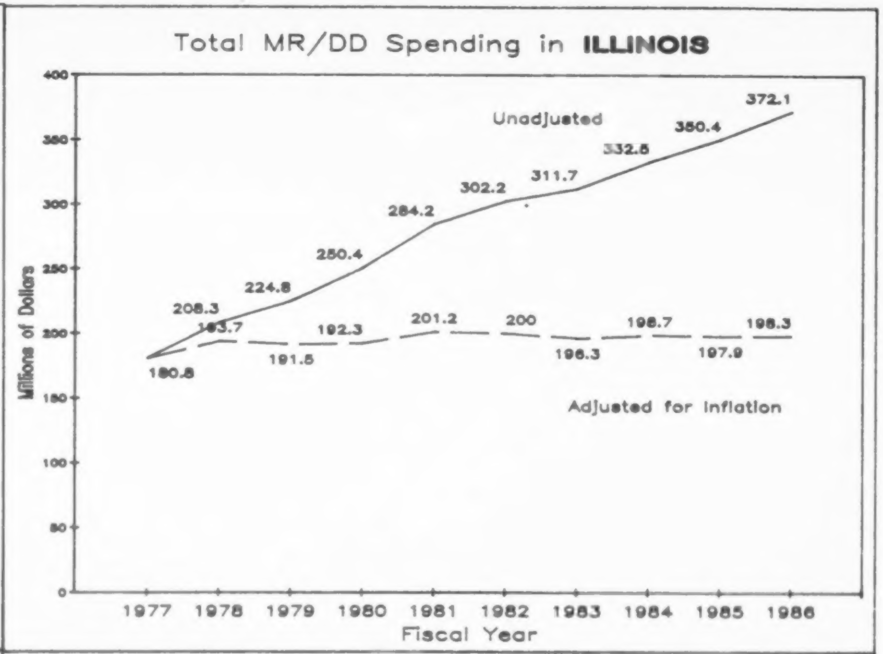
By Facility Size, FY 1977–86



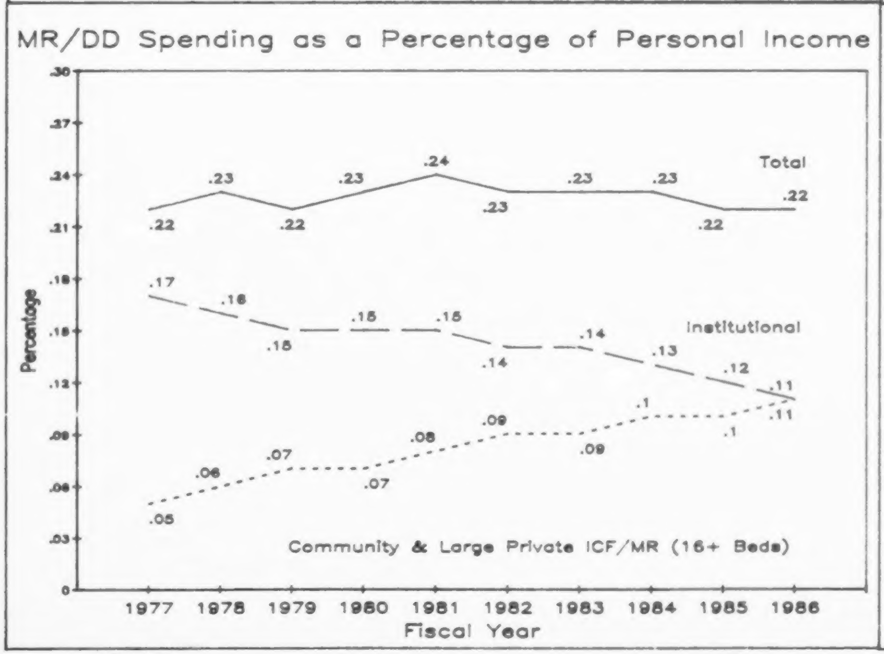
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



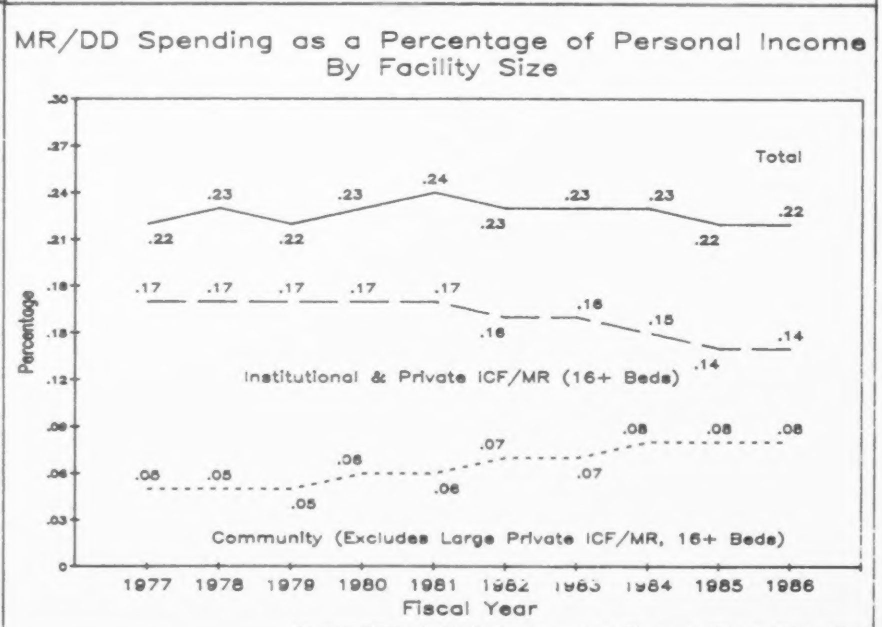
Personal Income in **ILLINOIS**



Total MR/DD Spending in **ILLINOIS**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

ILLINOIS 4/8/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	233,943,000	263,683,000	285,436,000	318,505,000	367,264,000	394,036,000	422,043,000	440,515,900	462,851,400	503,743,600
TOTAL INSTITUTIONAL/COMMUNITY	180,787,000	208,304,000	224,752,000	250,439,000	284,178,000	302,173,000	311,685,000	332,542,900	350,376,400	372,078,600
STATE FUNDS	162,838,000	154,366,000	158,074,000	173,000,000	188,588,000	231,660,900	221,930,200	225,843,800	241,710,100	249,486,600
General Funds	145,521,000	137,729,000	142,534,000	158,663,000	173,812,000	211,765,900	203,417,200	208,904,100	225,135,700	228,088,300
SSI State Supplement	6,570,000	5,137,000	5,119,000	5,507,000	5,957,000	5,812,000	5,533,000	6,181,000	6,538,000	11,465,000
Other State Funds	10,747,000	11,500,000	10,421,000	8,830,000	8,819,000	14,083,000	12,980,000	10,758,700	10,036,400	9,933,300
FEDERAL FUNDS	17,949,000	53,938,000	66,678,000	77,439,000	95,590,000	70,512,100	89,754,800	106,699,100	108,666,300	122,592,000
Title XIX Funds	8,383,000	30,736,000	40,475,000	45,068,000	61,068,000	65,506,000	84,560,000	96,757,300	97,141,600	109,950,000
Title XX / SSBG Funds	6,804,000	18,902,000	23,611,000	27,659,000	31,197,000	1,898,100	1,905,800	1,904,900	2,026,300	1,540,300
Other Federal Funds	2,762,000	4,300,000	2,592,000	4,712,000	3,325,000	3,108,000	3,289,000	8,036,900	9,498,400	11,101,700
INSTITUTIONAL SERVICES FUNDS	137,838,000	149,053,000	154,906,000	170,596,000	183,780,000	187,723,000	185,544,000	184,143,600	182,147,400	185,363,500
STATE FUNDS	127,576,000	119,599,000	119,829,000	129,913,000	132,447,000	132,657,000	113,275,000	98,943,600	101,147,400	107,463,500
General Funds	127,576,000	119,599,000	119,829,000	129,913,000	132,447,000	132,657,000	113,275,000	98,943,600	101,147,400	107,463,500
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	10,262,000	29,454,000	35,077,000	40,683,000	51,333,000	55,066,000	72,269,000	85,200,000	81,000,000	77,900,000
Federal ICF/MR	8,383,000	26,136,000	32,925,000	36,618,000	49,168,000	52,852,000	70,010,000	78,100,000	73,300,000	70,000,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	1,879,000	3,318,000	2,152,000	4,065,000	2,165,000	2,214,000	2,259,000	7,100,000	7,700,000	7,900,000
COMMUNITY WITH FEDERAL INCOME MAINT	96,105,000	114,630,000	130,530,000	147,909,000	183,484,000	206,313,000	236,499,000	256,372,300	280,704,000	318,380,100
COMMUNITY SERVICES FUNDS	42,949,000	59,251,000	69,846,000	79,843,000	100,398,000	114,450,000	126,141,000	148,399,300	168,229,000	186,715,100
STATE FUNDS	35,262,000	34,767,000	38,245,000	43,087,000	56,141,000	99,003,900	108,655,200	126,900,200	140,562,700	142,023,100
General Funds	17,945,000	18,130,000	22,705,000	28,750,000	41,365,000	79,108,900	90,142,200	109,960,500	123,988,300	120,624,800
SSI State Supplement	6,570,000	5,137,000	5,119,000	5,507,000	5,957,000	5,812,000	5,533,000	6,181,000	6,538,000	11,465,000
Other State Funds	10,747,000	11,500,000	10,421,000	8,830,000	8,819,000	14,083,000	12,980,000	10,758,700	10,036,400	9,933,300
FEDERAL FUNDS	7,687,000	24,484,000	31,601,000	36,756,000	44,257,000	15,446,100	17,485,800	21,499,100	27,666,300	44,692,000
ICF/MR Funds	0	4,600,000	7,550,000	8,450,000	11,900,000	12,654,000	14,550,000	18,430,300	20,753,000	24,750,000
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	74,500	159,500	254,200	495,400	1,909,700	2,326,300
Large Private	0	4,600,000	7,550,000	8,450,000	11,825,500	12,494,500	14,295,800	17,934,900	18,843,300	22,423,700
Other Title XIX Funds	0	0	0	0	0	0	0	227,000	3,088,600	15,200,000
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	10,000,000
Waiver	0	0	0	0	0	0	0	227,000	3,088,600	5,200,000
Title XX / SSBG Funds	6,804,000	18,902,000	23,611,000	27,659,000	31,197,000	1,898,100	1,905,800	1,904,900	2,026,300	1,540,300
Other Federal Funds	883,000	982,000	440,000	647,000	1,160,000	894,000	1,030,000	936,900	1,798,400	3,201,700
FEDERAL INCOME MAINTENANCE	53,156,000	55,379,000	60,684,000	68,066,000	83,086,000	91,863,000	110,358,000	107,973,000	112,475,000	131,665,000
Suppl. Security Income (SSI)	33,814,000	33,885,000	35,621,000	38,302,000	45,708,000	50,265,000	65,444,000	61,551,000	68,854,000	77,448,000
Childhood Disability (SSDI)	19,342,000	21,494,000	25,063,000	29,764,000	37,378,000	41,598,000	44,914,000	46,422,000	43,621,000	54,217,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
Daily Institutional Population	6,580	6,434	6,229	6,115	5,827	5,495	5,162	4,948	4,898	4,558
Institutional Per Diem	57.39	63.47	68.13	76.22	86.41	93.60	98.48	101.68	101.89	111.42

INDIANA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services for individuals with mental retardation and developmental disabilities in Indiana are managed by the Department of Mental Health. The Developmental Disabilities Division (DD) manages community services programs. Institutional services are managed by the Department of Mental Health.

Budget Format. The budget format for the Department of Mental Health (DMH) is:

- Department of Mental Health
  - General Fund
  - Federal Funds
  - Dedicated Funds
- Division of Mental Retardation (Developmental Disabilities)
  - [same fund sources]
- Institutions
  - [same fund sources]
- Community MI Programs
  - [same fund sources]
- Administration
  - [same fund sources]

Note on Data Sources. Indiana's biennium budget documents for the FYs 1979-81 and FYs 1983-85 Biennia were reviewed. These provided "actual" expenditure figures in FYs 1977, '78, '81, and '82; "estimated" expenditures in FYs 1979 and '83; and "recommended" expenditures in FYs 1980 and '84.

Although the Division of MR funding represented primarily community services funding, it was not possible from inspection of the budget documents to determine the ICF/MR, Title XX/SSBG or other possible Federal fund sources; nor was it possible to determine from the published budgets what portion of "Institutions" expenditures should apply to MR/DD individuals. Following an initial (9/15/83) phone interview with the Office of the Assistant Commissioner for MR/DD, we sent correspondence to John Malone, Administrative Assistant, DD Division. Malone provided community and institutional expenditure figures (p.c., telephone, 11/16/83; 12/22/83). Figures provided were classified "actual" for FYs 1977-83, and "projected expenditure" for FY 1984. Institutional average daily population figures for FYs 1977-84 were also provided by J. Malone (p.c., telephone, 5/10/84).

Expenditure and average daily population figures for institutional services for FY 1985 (actual) and FY 1986 (estimated expenditures based on appropriation) were provided by Steve Martin, Comptroller, Fiscal Office, Department of Mental Health, (p.c., telephone, 4/16/86). Community residential and private ICF/MR figures were provided by Marcia Bryan, Ed.D., Director, Residential Services, DMH (p.c., telephone, 4/29/86). Day service figures, including Social Service Block Grant revenues, were provided by John Malone, Assistant to the Director, DMH (p.c., telephone, 4/29/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of expenditures for Muscatatuck, Ft. Wayne, New Castle and Northern Indiana State Hospital and Training Centers.

Other State Funds consisted of a line reported in the budget books as "Farm Revenue."

Federal ICF/MR. Figures reported in the budgets for FY 1978-80 as "dedicated funds" were, in large part, ICF/MR revenue. Figures utilized in this analysis are those provided by J. Malone (p.c., 12/16/83; 12/22/83) and S. Martin (p.c., 4/16/86).

Other Federal Funds. Figures were reported in the budget books as ESEA Title I; DD Grants; Albuin Drug Study (FY 1977-80 only); EFI program; Ginsburg Unit and Alcohol Action Grant for the MR/DD State Hospital Training Centers.

III. COMMUNITY SERVICES FUNDS

Community services expenditure figures for FY 1985 (actual) and for FY 1986 (estimated expenditure based on appropriation) consisted of services funded by the Department of Mental Health (DMH) and Private ICFs/MR, which were reimbursed by the Medicaid Division, Department of Public Welfare. The components of FY 1986 community services spending were ($s in thousands):

Indiana Budget Item	FY 1986 Amount	Analysis Category
Residential Services State Funds	$10,283.8	General Fund
Day Services State Funds	12,127.1	"
Private ICF/MR State Share	10,396.3	"
SSBG State Match	5,650.0	Other State Funds
Private ICF/MR Federal Share (15 Beds or Smaller)	14,564.4	Private ICF/MR Small
Private ICF/MR Federal Share (16 Beds or Larger)	2,398.2	Private ICF/MR Large
SSBG Federal	16,221.2	Title XX/SSBG Federal

A total of 9,999 community clients were registered on the Division's records for December, 1983 (p.c. ,J. Malone, 12/22/83), with approximately 6,000 receiving day programs and 4,000 receiving other DMH-funded services. There were 143 Community Residential Facilities for Developmentally Disabled persons (CRFs/DD), with a total of 830 beds. These beds were included within the 9,999 figure, but the funding for these facilities was primarily private ICF/MR revenues (see below). DMH provided initial start-up funding for CRF/DD's, and also provided funding for those clients not eligible for Medicaid. Malone (p.c., 12/16/83) estimated those start-up and non-Medicaid client CRF/DD costs at $3 million in FY 1983 (the first year of the program). The funds were categorized as State General Funds in our analysis.

Other State Funds consisted of the State Match for Title XX (SSBG) Federal funds.

Private ICF/MR Small. Indiana initiated, in FY 1983, new rate-setting criteria for CRFs/DD, which were small (4-8 beds) private ICF/MR programs. As of 12/9/83, there were 143 facilities with 830 beds; in FY 1986, there were 230 facilities, with 1,215 average daily residents, and a reimbursement per diem of $52.97. This represented a 90% certification rate for the 230 facilities; costs of non-certified facilities (CRFs/DD) were included in state funds.

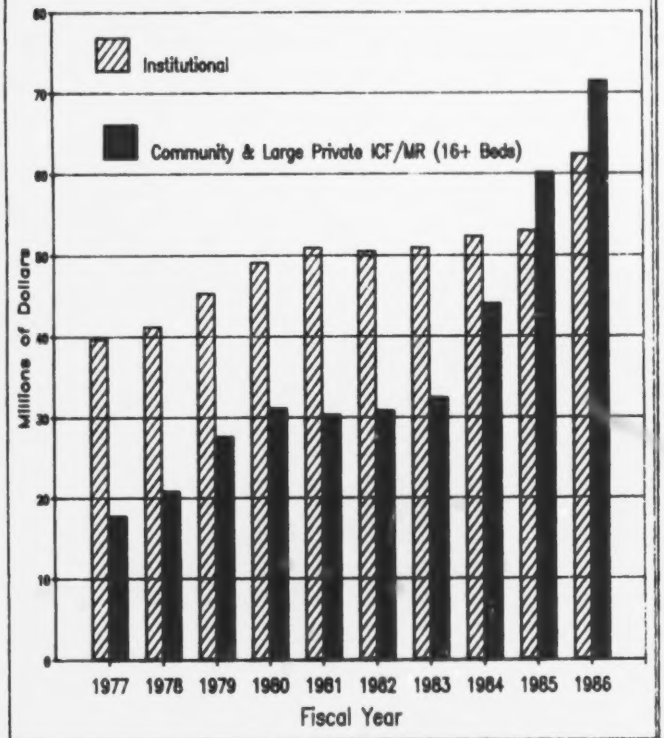
Private ICFs/MR Large consisted of four facilities, with 173 average daily residents, and a reimbursement per diem of $61.25. Two different licensure systems were utilized. The Health Facilities Council licensed the larger ICFs/MR, while the CRFs/DD were licensed by DMH's Community Residential Facilities Council. The state match for the CRF/DD and larger ICF/MR programs was provided by the State Department of Welfare.

Federal Title XX/SSBG. John Malone (p.c., telephone, 12/22/83) indicated that there were 62 agencies providing Title XX-reimbursed services for MR/DD individuals. The Indiana Legislature appropriated the state match for Title XX to the Indiana Social Service Fiscal Office; this 25% state match was included in the analysis as Other State Funds. Figures for FY 1977 and FY 1978 were imputed based on the actual program growth rate between FY 1979 and FY 1980.

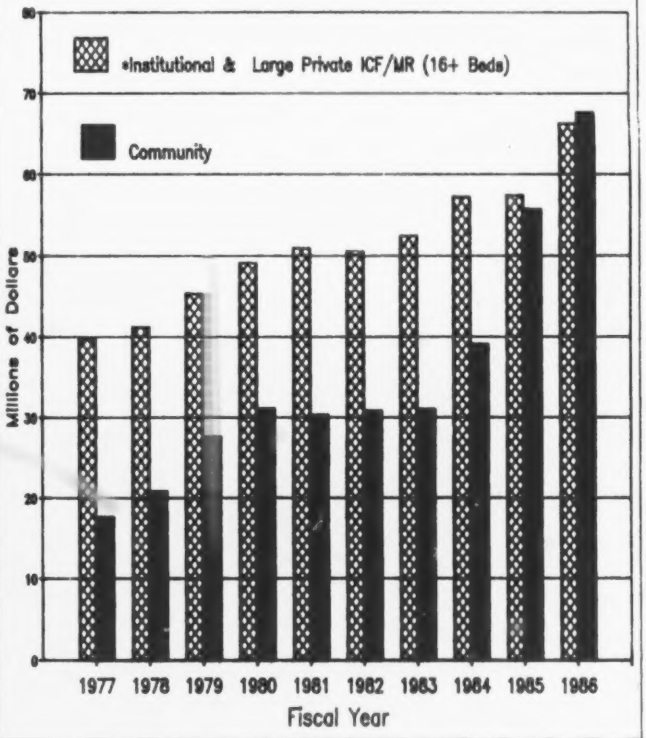
Other Title XIX Nursing Homes. In Indiana, a number of MR/DD individuals were served in non-ICF/MR nursing homes. These facilities were reimbursed with Title XIX/Medicaid by the Indiana Department of Public Welfare, and usually had a "comprehensive" license to provide both Intermediate and Skilled care. Estimates by the Department of Public Welfare and from facility self-reports indicated that, during the period of this analysis, approximately 3,000 to 4,000 individuals resided in non-ICF/MR nursing homes. (p.c., telephone, Marcia Bryan, 12/3/84.)

INDIANA

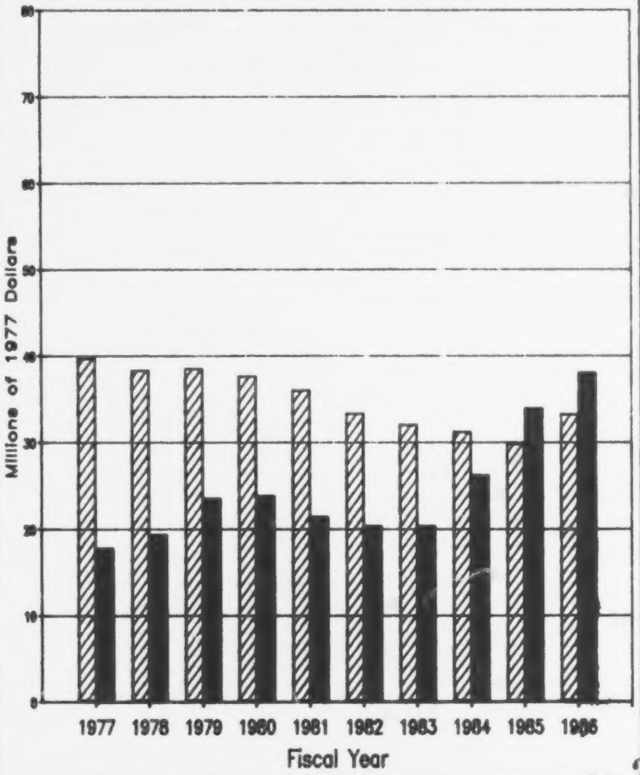
MR/DD Expenditures
for *Institutional* & *Community* Services



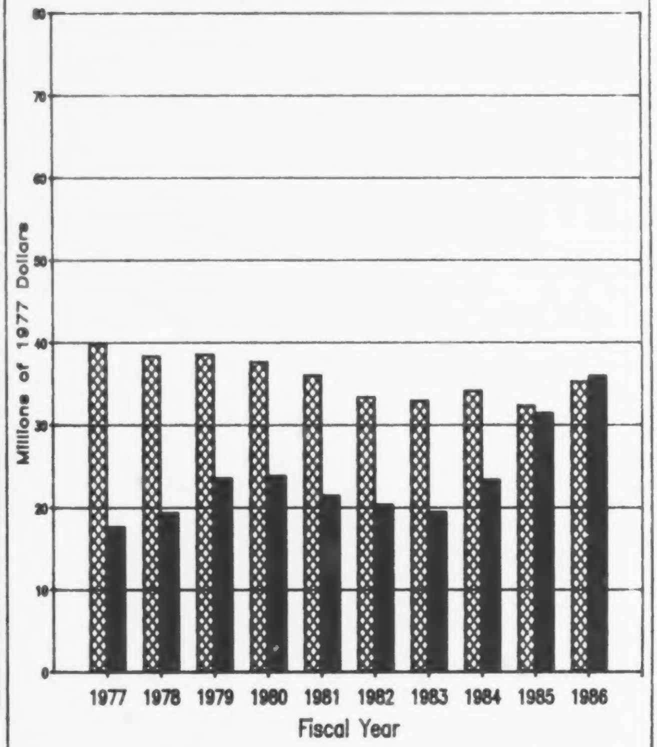
MR/DD Expenditures for Large Congregate*
& Community Services



Adjusted for Inflation



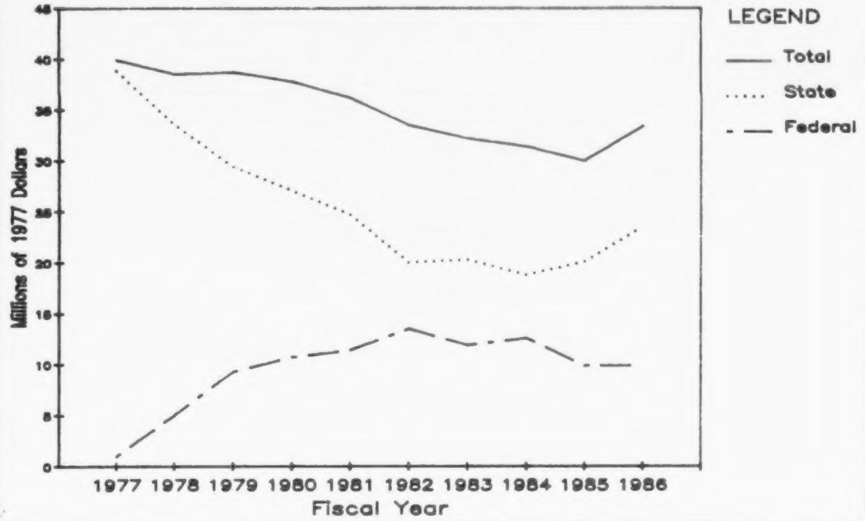
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

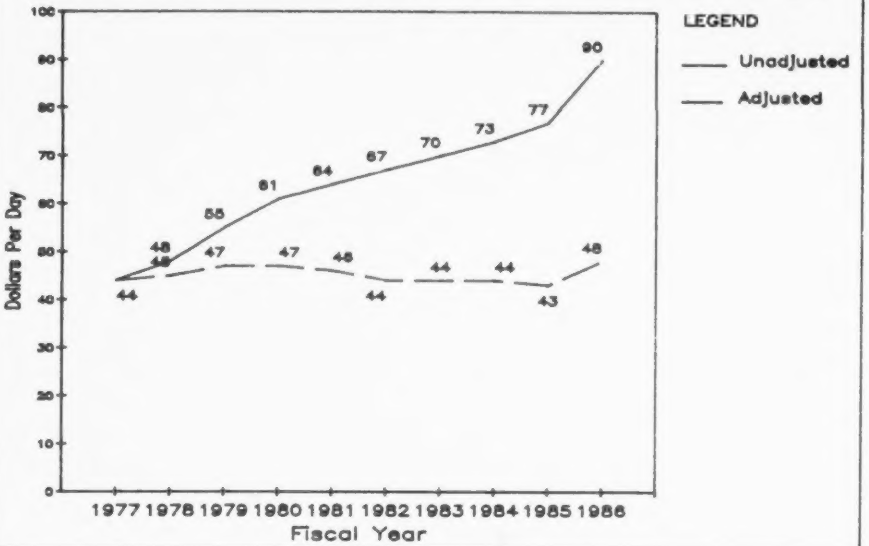
INDIANA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

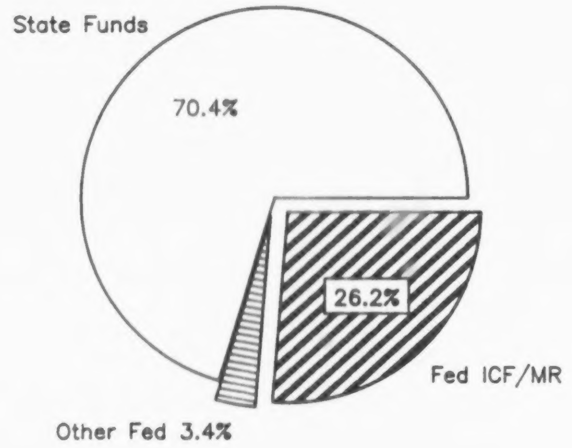


INDIANA

Institutional Per Diem Costs: FY 1977–86

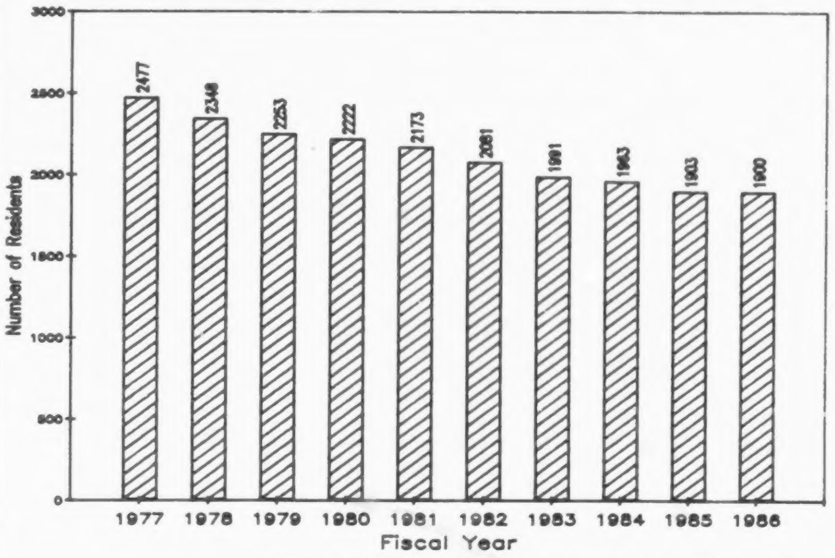


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $62.6 Million

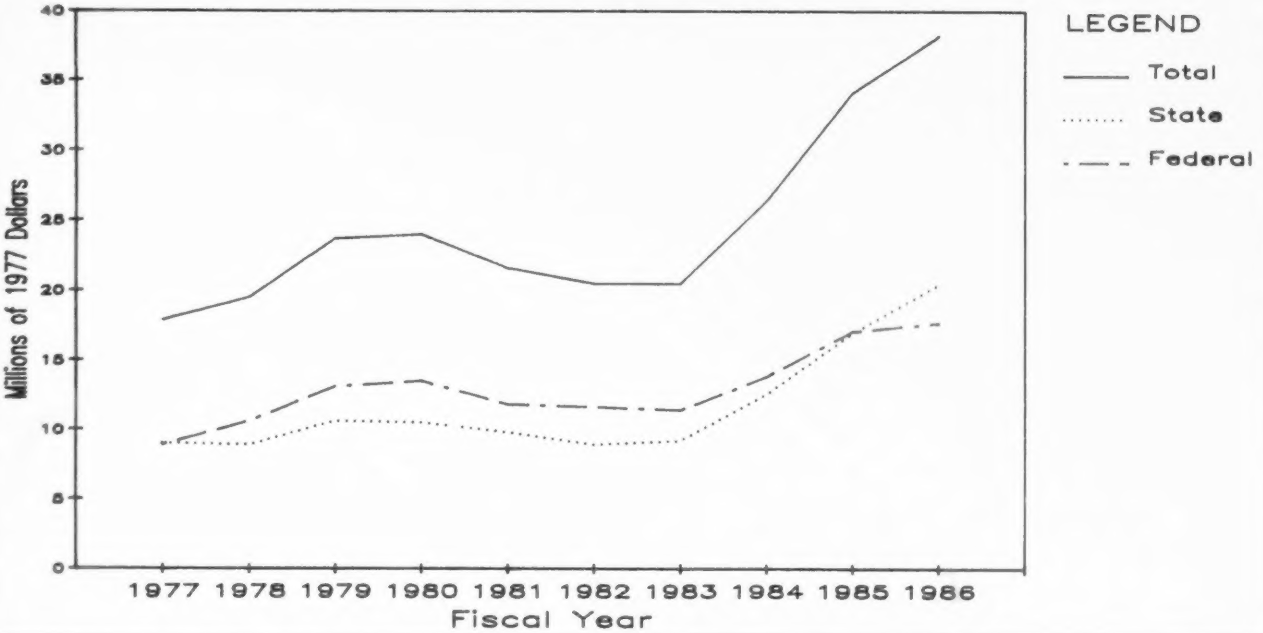
Average Daily Residents in Institutions



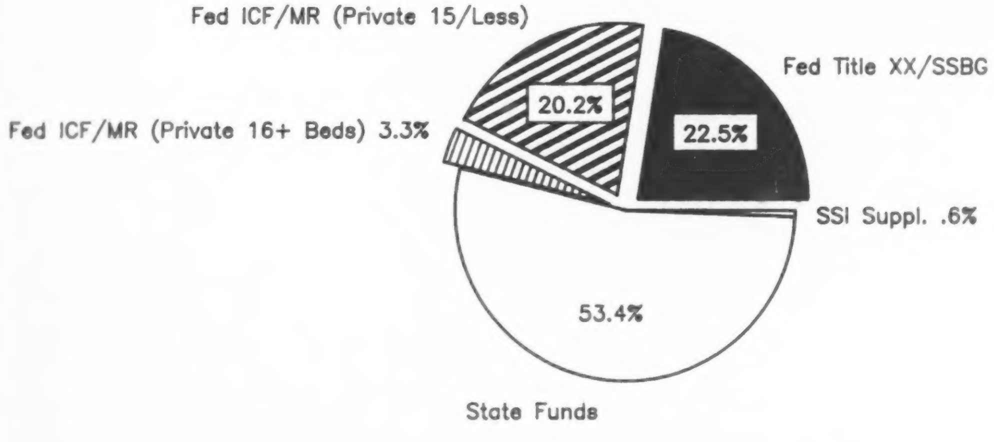
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

INDIANA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

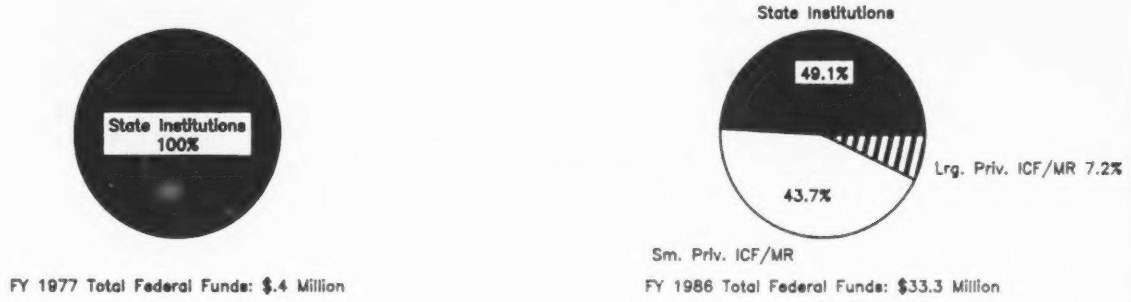


FY 1986 Total Funds: $72.1 Million

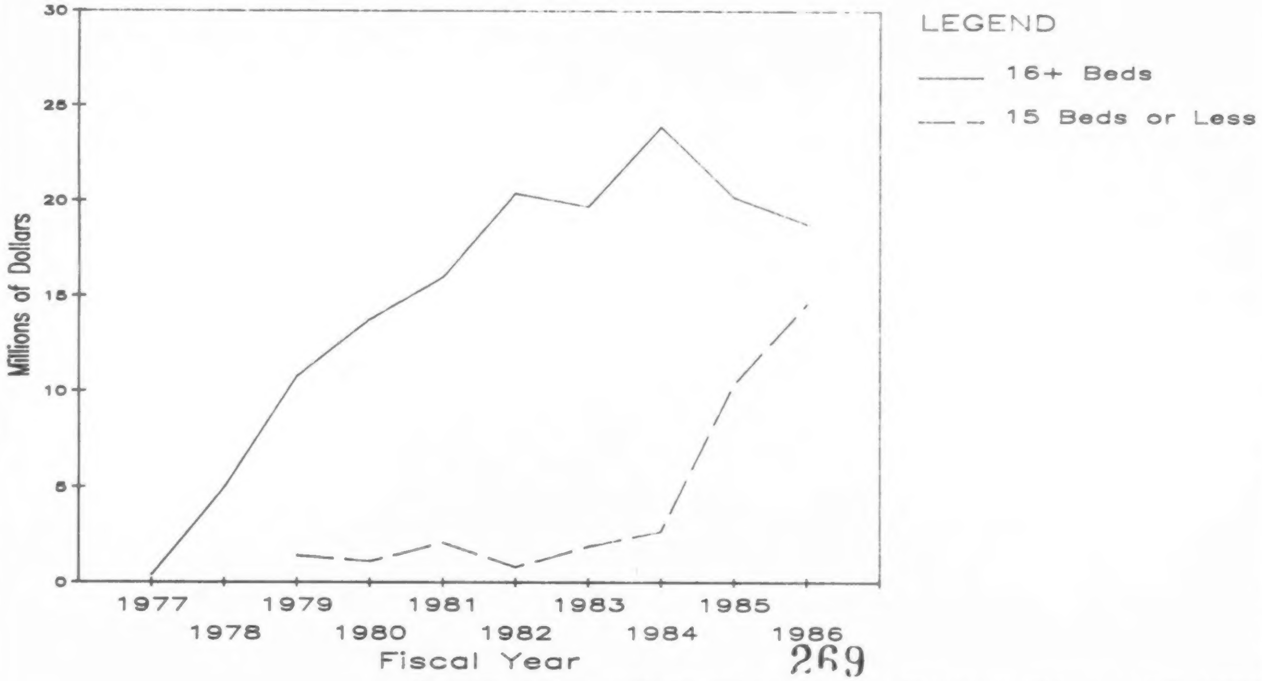
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

INDIANA

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

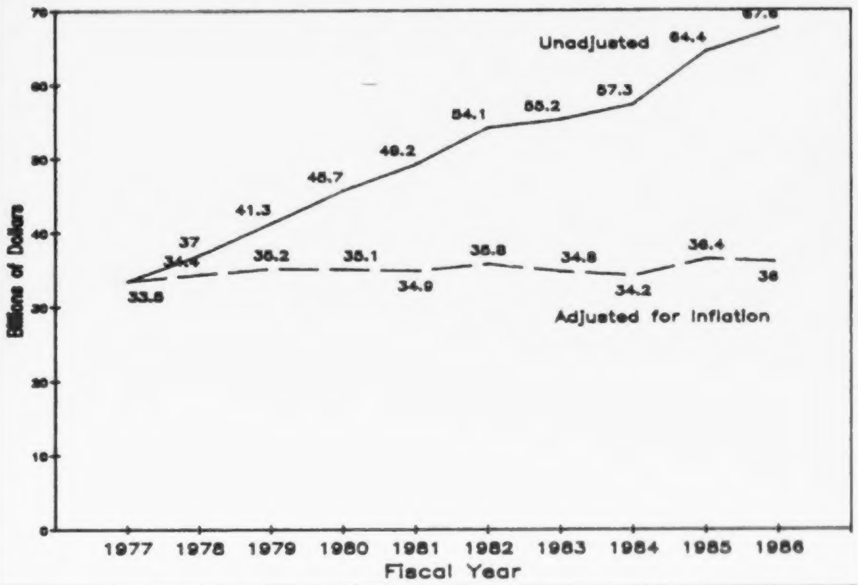


By Facility Size, FY 1977–86

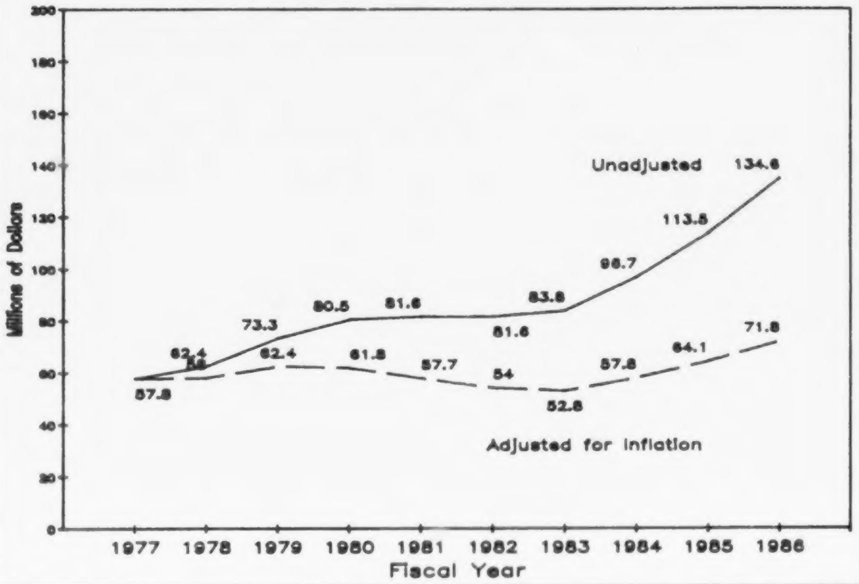


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

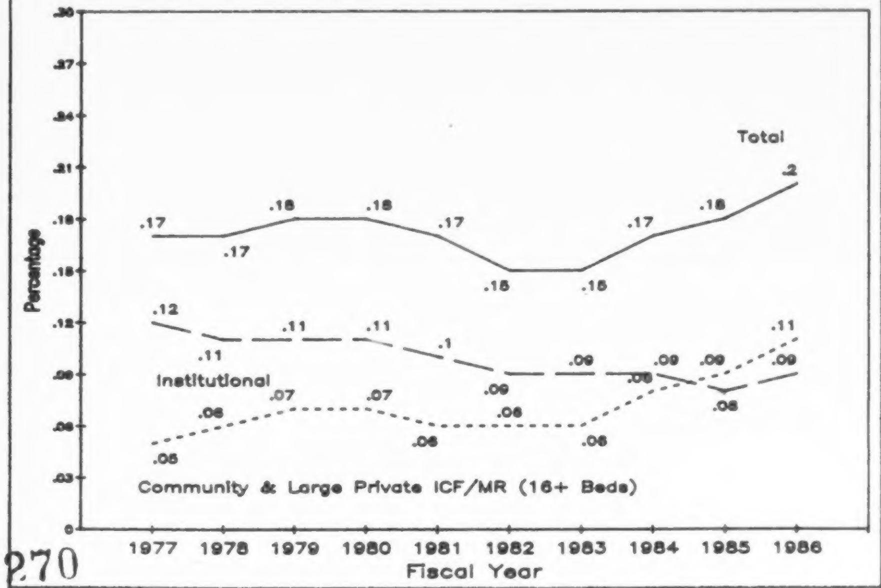
Personal Income in **INDIANA**



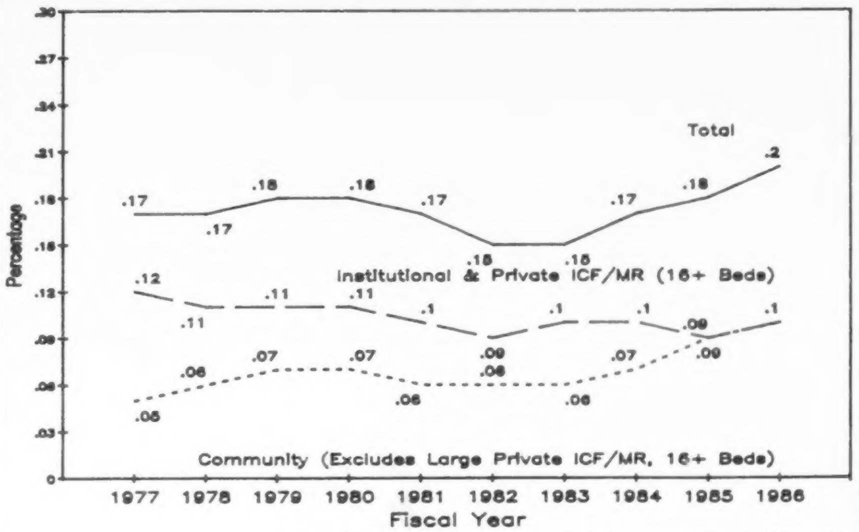
Total MR/DD Spending in **INDIANA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

INDIANA 4/30/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	79,860,100	87,162,800	101,584,300	113,522,900	122,300,100	127,245,100	134,496,900	151,891,100	168,726,800	203,554,400
TOTAL INSTITUTIONAL/COMMUNITY	57,751,100	62,408,800	73,253,300	80,530,900	81,554,100	81,627,100	83,758,900	96,705,100	113,477,800	134,640,400
STATE FUNDS	47,859,000	45,666,000	46,947,000	48,995,000	48,734,100	43,691,000	46,768,800	52,539,000	65,697,500	82,975,800
General Funds	44,907,000	41,864,000	42,276,400	43,473,300	43,837,100	38,105,000	41,636,000	46,694,000	59,956,500	74,449,700
SSI State Supplement	2,000	2,000	2,000	4,000	2,000	2,000	8,000	15,000	16,000	428,000
Other State Funds	2,950,000	3,800,000	4,668,600	5,517,700	4,895,000	5,584,000	5,124,800	5,830,000	5,725,000	8,098,100
FEDERAL FUNDS	9,892,100	16,742,800	26,306,300	31,535,900	32,820,000	37,936,100	36,990,100	44,166,100	47,780,300	51,664,600
Title XIX Funds	362,000	5,005,000	12,188,000	14,919,000	18,096,000	21,174,000	21,605,000	26,610,000	30,605,300	33,345,400
Title XX / SSBG Funds	8,850,000	11,400,000	13,950,000	16,500,000	14,633,000	16,697,000	15,320,000	17,491,000	17,175,000	16,221,100
Other Federal Funds	680,100	337,800	168,300	116,900	91,000	65,100	65,100	65,100	0	2,098,100
INSTITUTIONAL SERVICES FUNDS	39,875,100	41,406,800	45,467,300	49,252,900	51,074,100	50,654,100	51,143,100	52,526,100	53,178,800	62,571,500
STATE FUNDS	38,833,000	36,064,000	34,548,000	35,336,000	34,941,100	30,191,000	32,219,000	31,496,000	35,615,300	44,090,600
General Funds	38,833,000	36,064,000	34,529,400	35,318,300	34,924,100	30,173,000	32,201,000	31,496,000	35,615,300	41,642,500
Other State Funds	0	0	18,600	17,700	17,000	18,000	18,000	0	0	2,448,100
FEDERAL FUNDS	1,042,100	5,342,800	10,919,300	13,916,900	16,133,000	20,463,100	18,924,100	21,030,100	17,563,500	18,480,900
Federal ICF/MR	362,000	5,005,000	10,751,000	13,800,000	16,042,000	20,398,000	18,859,000	20,965,000	17,563,500	16,382,800
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	680,100	337,800	168,300	116,900	91,000	65,100	65,100	65,100	0	2,098,100
COMMUNITY WITH FEDERAL INCOME MAINT	39,985,000	45,756,000	56,117,000	64,270,000	71,226,000	76,591,000	83,353,800	99,365,000	115,548,000	140,982,900
COMMUNITY SERVICES FUNDS	17,876,000	21,002,000	27,786,000	31,278,000	30,480,000	30,973,000	32,615,800	44,179,000	60,299,000	72,068,900
STATE FUNDS	9,026,000	9,602,000	12,399,000	13,659,000	13,793,000	13,500,000	14,549,800	21,043,000	30,082,200	38,885,200
General Funds	6,074,000	5,800,000	7,747,000	8,155,000	8,913,000	7,932,000	9,435,000	15,198,000	24,341,200	32,807,200
SSI State Supplement	2,000	2,000	2,000	4,000	2,000	2,000	8,000	15,000	16,000	428,000
Other State Funds	2,950,000	3,800,000	4,650,000	5,500,000	4,878,000	5,566,000	5,106,800	5,830,000	5,725,000	5,650,000
FEDERAL FUNDS	8,850,000	11,400,000	15,387,000	17,619,000	16,687,000	17,473,000	18,066,000	23,136,000	30,216,800	33,183,700
ICF/MR Funds	0	0	1,437,000	1,119,000	2,054,000	776,000	2,746,000	5,645,000	13,041,800	16,962,600
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	1,437,000	1,119,000	2,054,000	776,000	1,922,700	2,747,600	10,394,000	14,564,400
Large Private	0	0	0	0	0	0	823,300	2,897,400	2,647,800	2,398,200
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	8,850,000	11,400,000	13,950,000	16,500,000	14,633,000	16,697,000	15,320,000	17,491,000	17,175,000	16,221,100
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	22,109,000	24,754,000	28,331,000	32,992,000	40,746,000	45,618,000	50,738,000	55,186,000	55,249,000	68,914,000
Suppl. Security Income (SSI)	10,381,000	11,721,000	13,134,000	14,944,000	18,082,000	20,395,000	23,504,000	27,038,000	31,985,000	36,039,000
Childhood Disability (SSDI)	11,728,000	13,033,000	15,197,000	18,048,000	22,664,000	25,223,000	27,234,000	28,148,000	23,264,000	32,875,000
F.F.P. Rate	57.47%	57.76%	57.86%	57.43%	57.28%	56.87%	56.73%	59.13%	59.93%	62.00%
Daily Institutional Population	2,477	2,348	2,253	2,222	2,173	2,081	1,991	1,963	1,903	1,900
Institutional Per Diem	44.10	48.31	55.29	60.56	64.39	66.69	70.38	73.11	76.56	90.23

IOWA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The Division of MH/MR/DD is in the Department of Human Services. The two MR/DD Hospital-Schools and four Mental Health Institutions are fiscally managed by a sub-division designated "Institutions, Grants and Standards," while MH/MR/DD community programs are managed by a sub-division designated "Community Support." There is also a sub-division for "Program Development" serving the MH/MR/DD population.

Budget Format. The Iowa budget documents provided the following format for MR/DD programs:

- Department of Human Services
  - Division of Field Operations
    - State/Community MH/MR Fund
  - Mental Retardation Institutions
    - Glenwood Hospital-School
      - Balance Brought Forward
      - Internal Services Transfer
      - Federal Aid
      - Refunds and Reimbursements
      - Fees, Taxes, etc.
      - Sales and Services
      - Miscellaneous Income
      - Allocation ("State Appropriation" FY '77)
      - Transfers In
    - Woodward Hospital-School
      - (same lines as for Glenwood)

A number of other budget lines related to Mental Health Aid, MH Authority, MH Treatment, etc., were indicated within the Department of Human Services, Division of Field Operations, and as mentioned above, there were four Mental Health Institutions. Institutional and community expenditure totals did not include "General Administration Services" funds identified elsewhere in the Department of Human Services budget, nor did they include capital development funds. (See note on "Construction" below.)

Note on Data Sources. We reviewed Iowa budget documents for the FYs 1977-79, FYs 1979-81, FYs 1981-83, and FYs 1983-85 biennia. These documents provided "actual" expenditure figures for FYs 1978, '80, '82 and '83; "estimated" expenditures for FYs 1977, '79 and '81; and "Governor's Recommendations" for FY 1984.

Dave Lyon, Grants Officer, Department of Human Services was contacted for information about ICF/MR revenue, and he provided FYs 1979-83 figures (p.c., correspondence, 8/8/83). Subsequent correspondence (9/27/83) from Samuel J. Leto, Manager, Community Programs, Bureau of Finance, Department of Human Services contained the appropriation figure for FY 1984. Institutional services figures as originally obtained from the Iowa budget books were modified as a result of additional contacts with Iowa officials (p.c., telephone, S. Leto, 11/1/83; H. Templeman, 5/12/84). The combined "average daily population" figures for Glenwood and Woodward were provided by H. Templeman (p.c., 5/9/84).

Institutional services expenditure and average daily population figures for FYs 1983-1985 (actual) and FY 1986 (estimated) were provided in correspondence from Samuel Leto, Section Manager, Bureau of Finance, Iowa Department of Human Services (2/13/86). Community services figures were also provided for FY 1985 (actual) and FY 1986 (estimated).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the expenditure figures for the two Hospital-Schools, Glenwood and Woodward.

Other State Funds in our analysis consisted of the County match for Federal ICF/MR revenues in the two facilities.

Prior to FY 1983 the Hospital-Schools were appropriated a "net" amount, and Federal and other revenues were utilized to make up the expenditure total. Subsequently, appropriations were in the amount of total expenditures, and Federal ICF/MR revenue was received in the state's general treasury. In addition, there were modifications of the county reimbursements to the state for services to the counties' clients at the two facilities.

Other Federal Funds were those funds reported as "Federal Other" in budget documents for Woodward/Glenwood.

III. COMMUNITY SERVICES FUNDS

Community services state funds for FYs 1977-81 consisted entirely of the Title XX/SSBG state match. In FYs 1982-84, the DD Council state match was included, as were expenditures for the State/Community MH/MR Funds which were entirely supported by general fund dollars. Iowa statutes stipulated that no less that 40% nor more than 60% of the Fund could be expended on either MH or MR/DD clients; furthermore, 80% of the Fund was allocated directly to counties, while the remaining 20% was grants-in-aid to private providers of care, which had to be endorsed by the counties' boards of supervisors.

According to Department of Human Services officials (p.c., telephone, D. Lyon, 7/28/83; M. Fein, 9/10/83), these funds were projected at 50% for MR/DD individuals.

Other State Funds consisted of Title XX/SSBG county and local match in FYs 1977-81. FYs 1982-84 figures for DD Council county and local match were also included.

Private ICF/MR. For FYs 1977-84, expenditure figures were reported by S. Leto (p.c., correspondence, 9/27/83). FY 1985 (actual) and FY 1986 (estimated) ICF/MR figures were obtained from S. Leto (p.c., telephone, 2/13/86) (FY 1986 estimate was based on seven months of expenditures). Melanie Fein, Chief, Bureau of Program Development, provided (in 4/2/86 correspondence) the number of beds and per diem rates for sixteen private ICFs/MR. Utilizing these figures, we calculated an annual expenditure figure for each facility, then sorted the facilities into the category "Small" (15 beds or less) and "Large" (16 beds or larger). Since utilizing the number of beds and multiplying by the per diem overstated the estimated FY 1986 expenditure as provided by Leto (p.c., telephone, 2/13/86), we determined what percentages of expenditures were in the "Small" and "Large" categories, respectively, then applied these percentages to the FY 1986 private ICF/MR totals from Leto. Utilizing additional information on the years of opening for the smaller facilities (p.c., telephone, W. Miller, Bureau of Research and Statistics, 4/29/86), we determined expenditures for the ICFs/MR Small category for FYs 1981-85. Finally, we utilized the Federal Financial Participation (FFP) rate to determine what portion of the Small and Large Private ICF/MR expenditures would be assigned to the state funds category of our analysis, and what portion would be entered in the federal funds category.

The four Small ICFs/MR ranged in size from 8 beds to 15 beds (average 10 beds); the twelve Large facilities ranged from 24 beds to 112 beds (average 47 beds).

Federal Title XX/SSBG. The actual MR/DD Federal, state and local funds for SSBG were available only for FY 1982, as reported in a document forwarded to us by Iowa officials, entitled "Funding of Mental Health/ Mental Retardation/Developmental Disabilities Services in Iowa: FY 1982" (no date). We also were provided total Iowa Title XX/SSBG Federal revenues, and the same proportions of MR/DD Federal, state, and local funds which were reported in the FY 1982 document were applied to other years.

Other Federal Funds. Beginning in FY 1982, the DD Council funds were administered by the Division of MH/MR/DD, and were therefore included in the analysis. As indicated by Department of Human Services officials in telephone interviews (p.c., D. Lyon, 7/28/83; M. Fein, 7/28/83, 10/10/83), the Council funds were deployed at the rate of 65% for community and 35% for administration and planning. The 65% portion, therefore, was included with community services in this analysis. The DD Council funds for "administration and planning" were not included in the analysis.

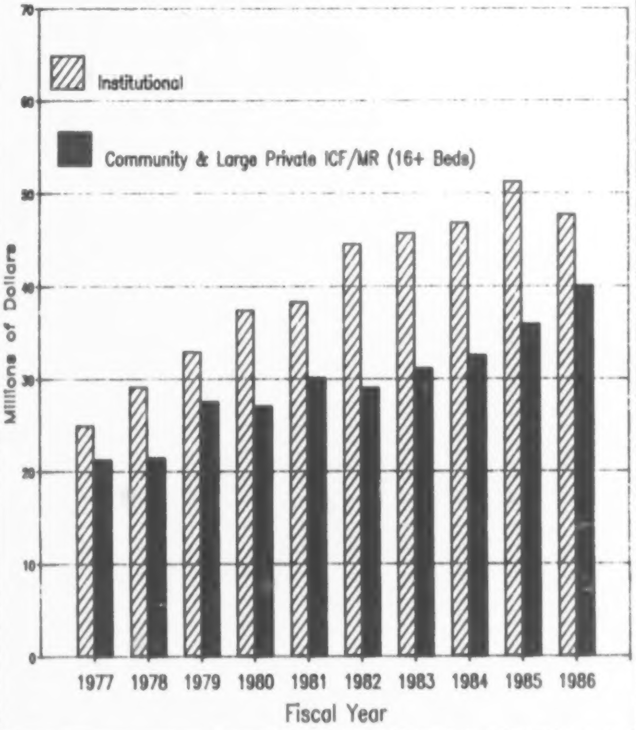
Construction. A "Revolving MR Capital Construction Fund - Title XIX" was utilized, from FY 1976 through FY 1983. The figures below were reported by S. Leto (p.c., telephone, 1/25/84; 6/6/84) (Dollars in thousands):

Revolving MR Capital Construction Fund

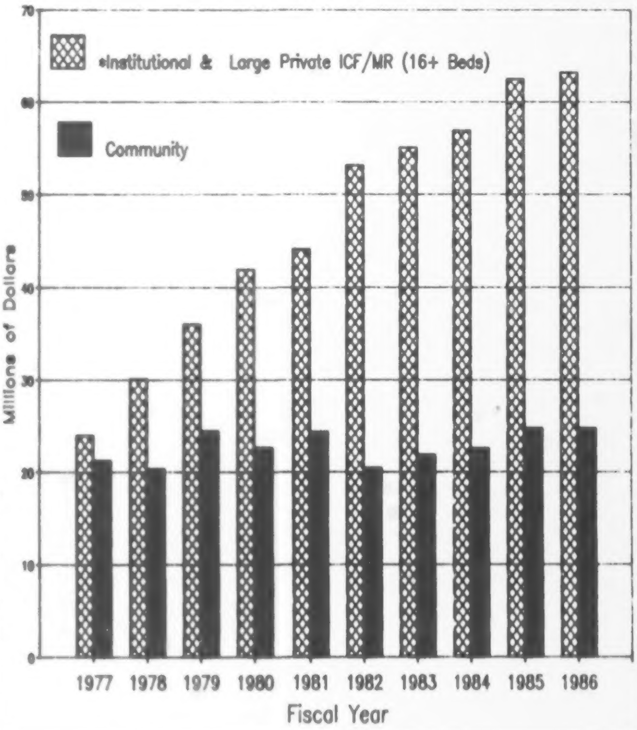
	1977	1978	1979	1980	1981	1982	1983
Total	$11,859.5	$10,269.5	$5,865.2	$6,917.3	$7,548.5	$5,803.7	$6,319.8
Federal ICF/MR	7,359.5	5,769.5	5,828.8	6,885.9	7,548.5	5,775.2	6,319.8
State Funds	4,500.0	4,500.0	------	------	------	-------	------
Other funds	----	----	36.4	31.4	------	28.5	------

These funds represented Federal ICF/MR funds reimbursing facility operations, but set aside each year, with state/local matches, to provide a revolving capital construction pool. According to Harold Templeman, Budget Officer, Department of Human Services (p.c., telephone, 5/12/84) the fund was at less then one million dollars in FY 1984. Since these dollars were totally dedicated to construction, they are not included in the expenditure totals for institutional services. However, since the funds were received in reimbursement for operations, as Federal revenues they were included in the analysis (state funds were decreased by this same amount each year). The capital fund was utilized to construct cottages at Glenwood/Woodward, with 12-24 beds per cottage and 2 residents per room.

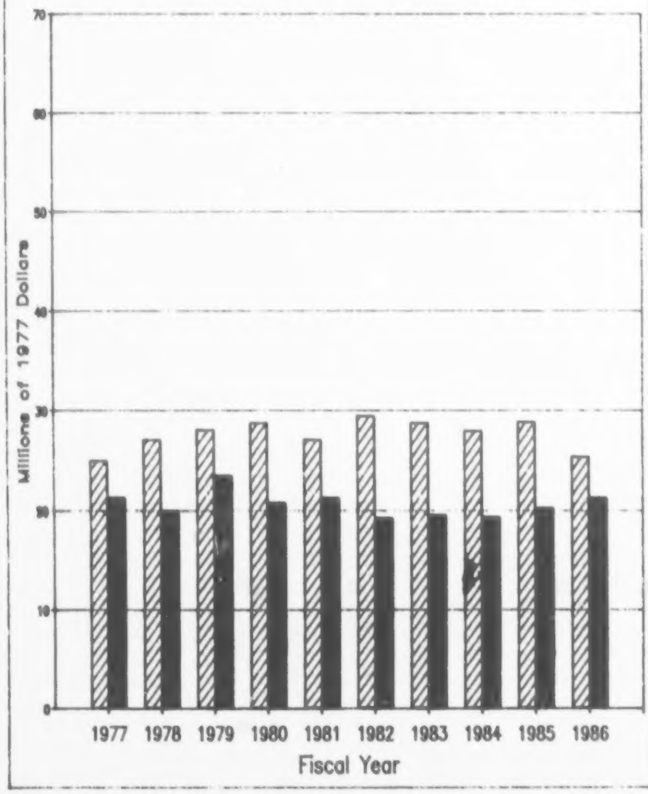
MR/DD Expenditures for *Institutional* & *Community* Services



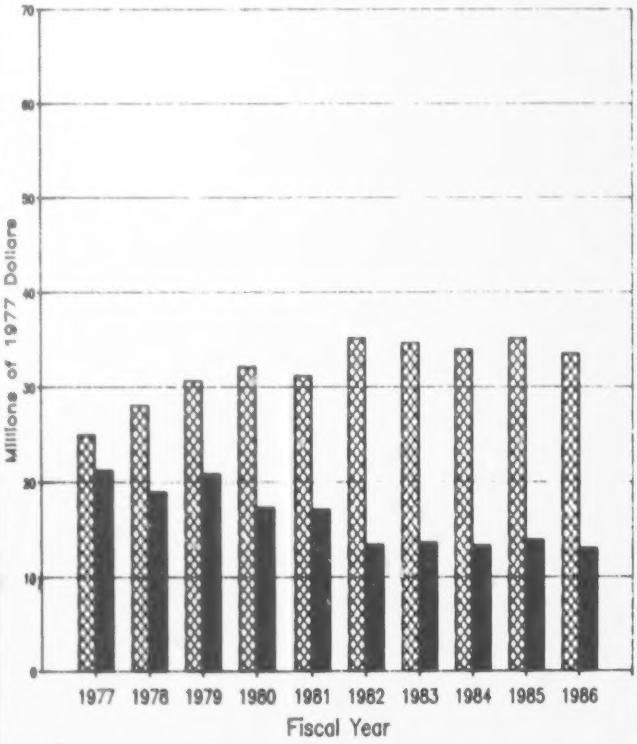
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

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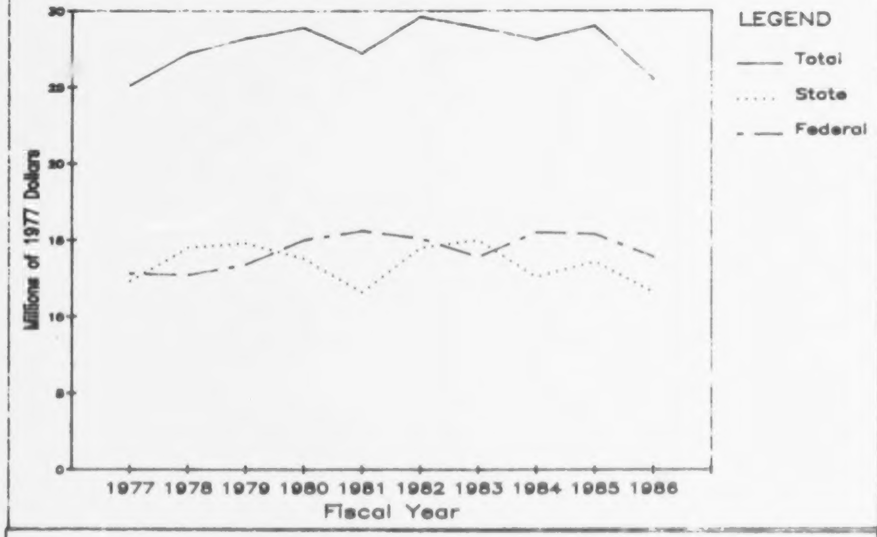
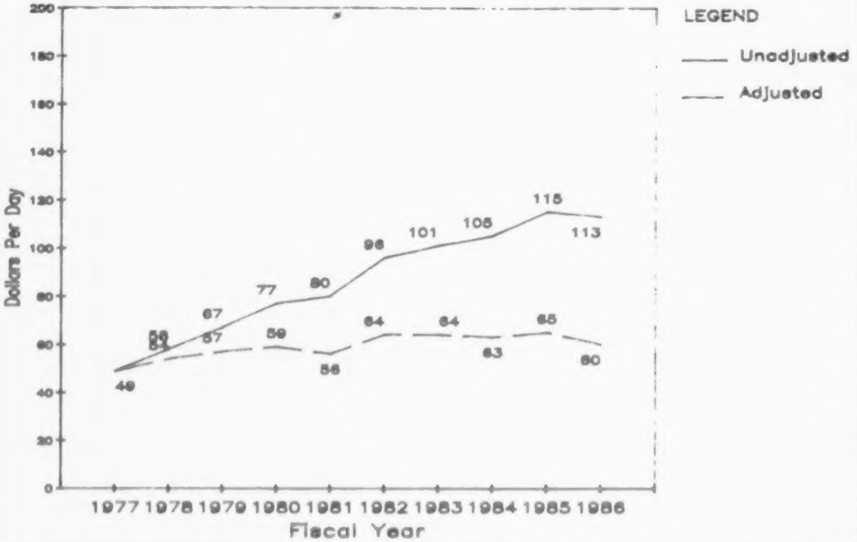
Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

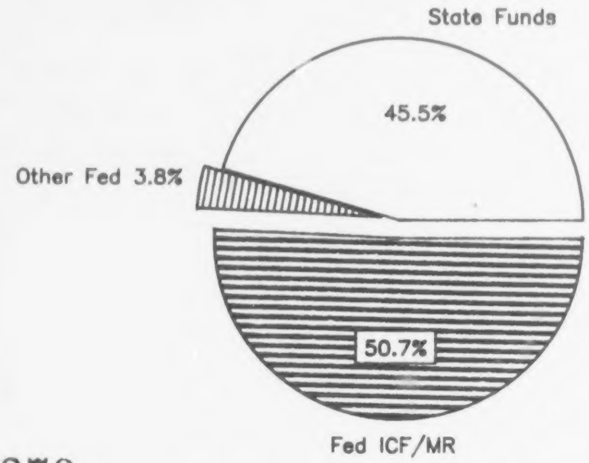


IOWA

Institutional Per Diem Costs: FY 1977–86

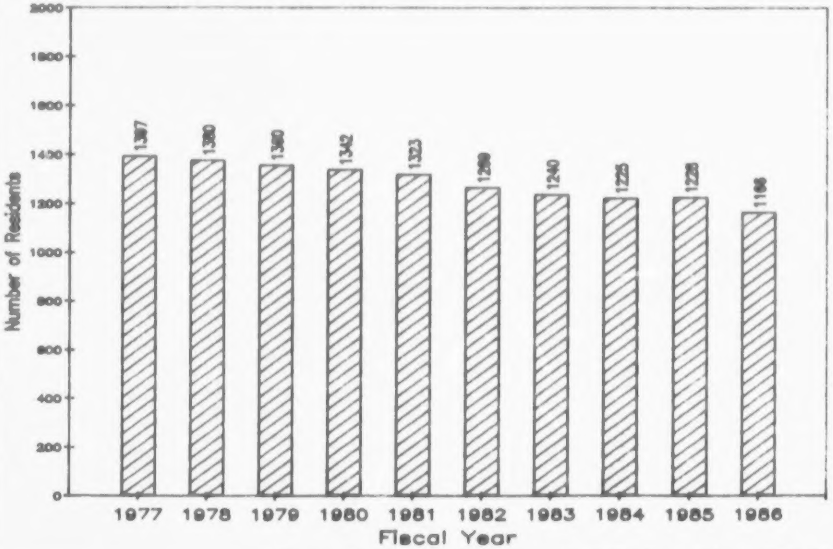


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $47.9 Million

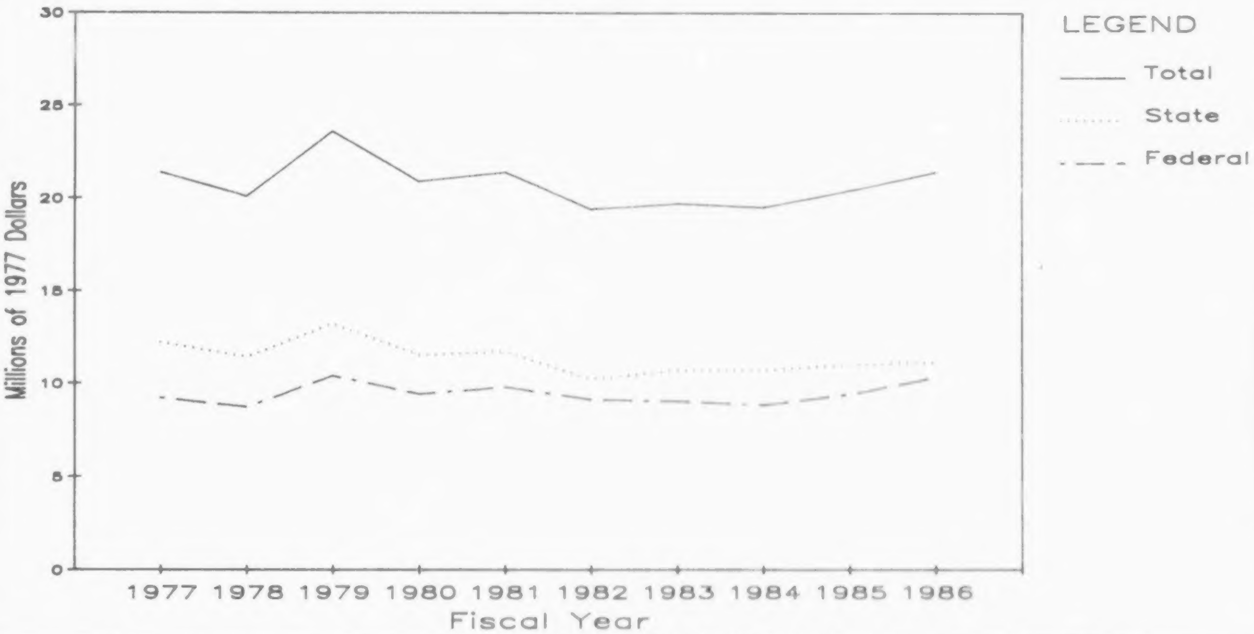
Average Daily Residents in Institutions



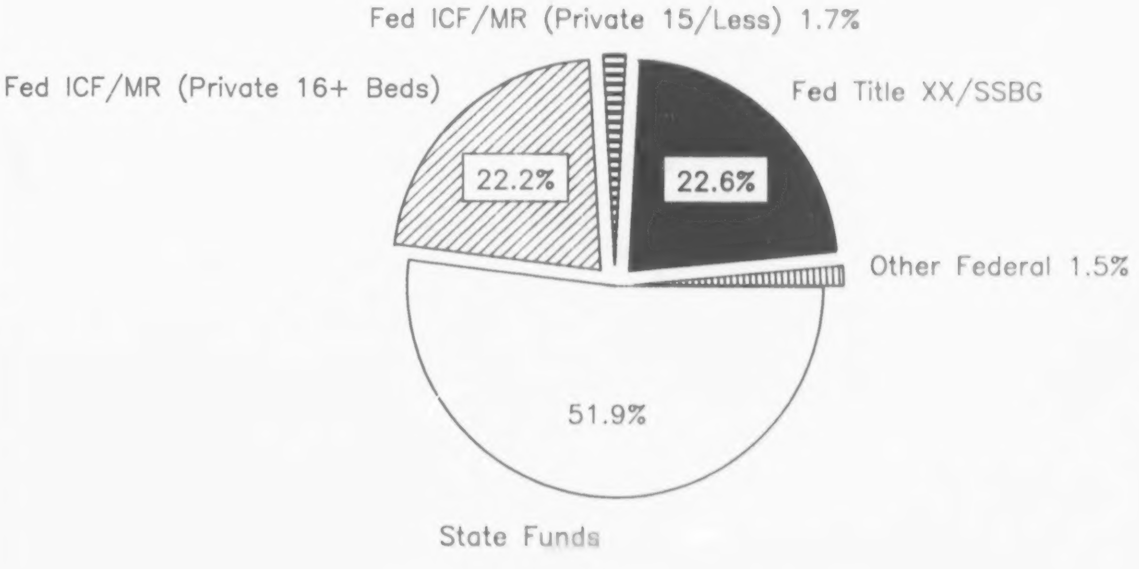
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

IOWA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

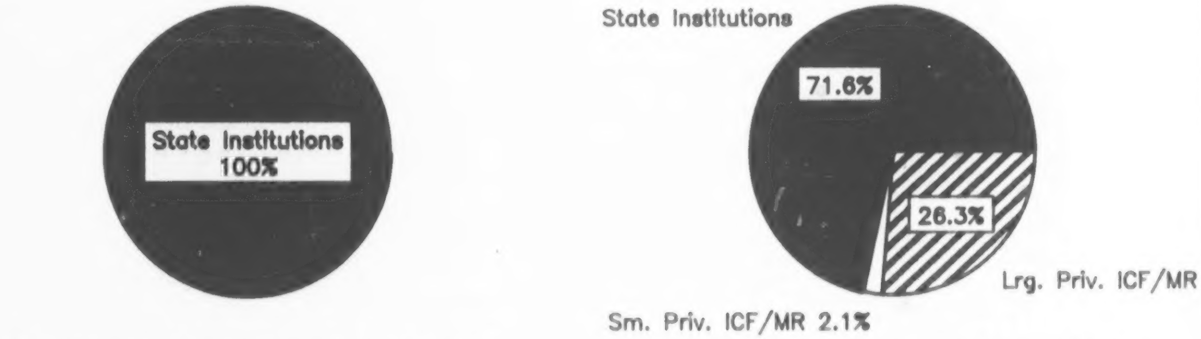


FY 1986 Total Funds: $40.2 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

IOWA

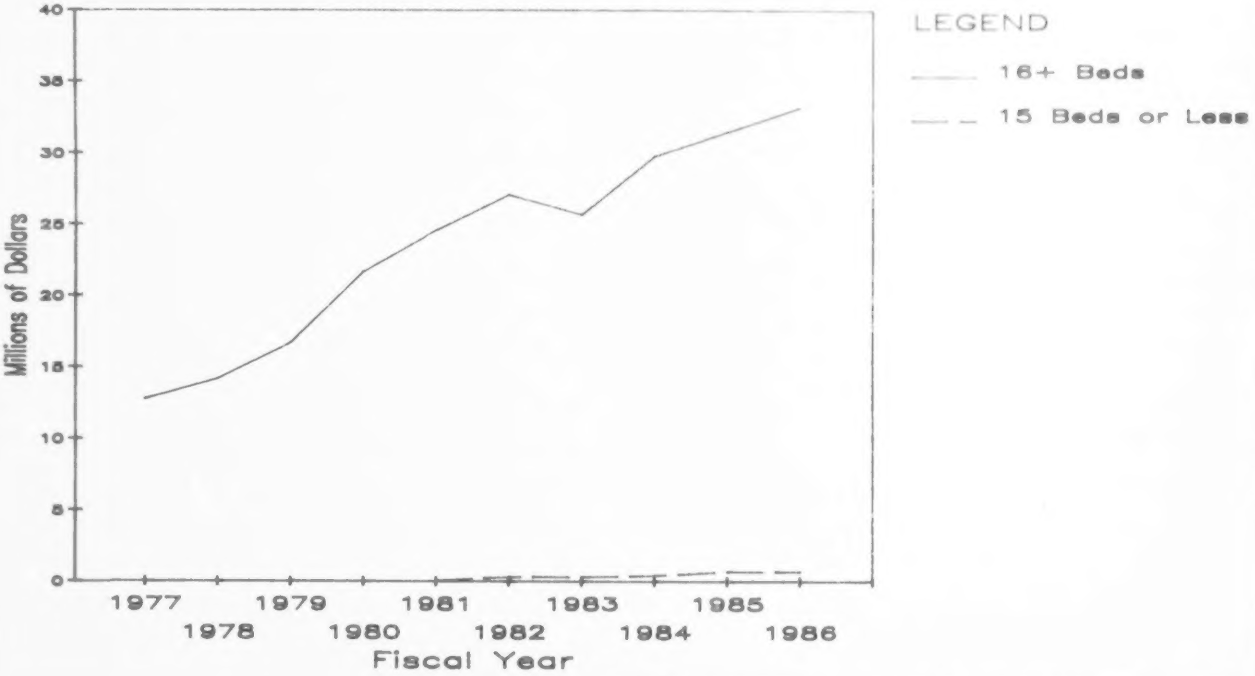
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $12.8 Million

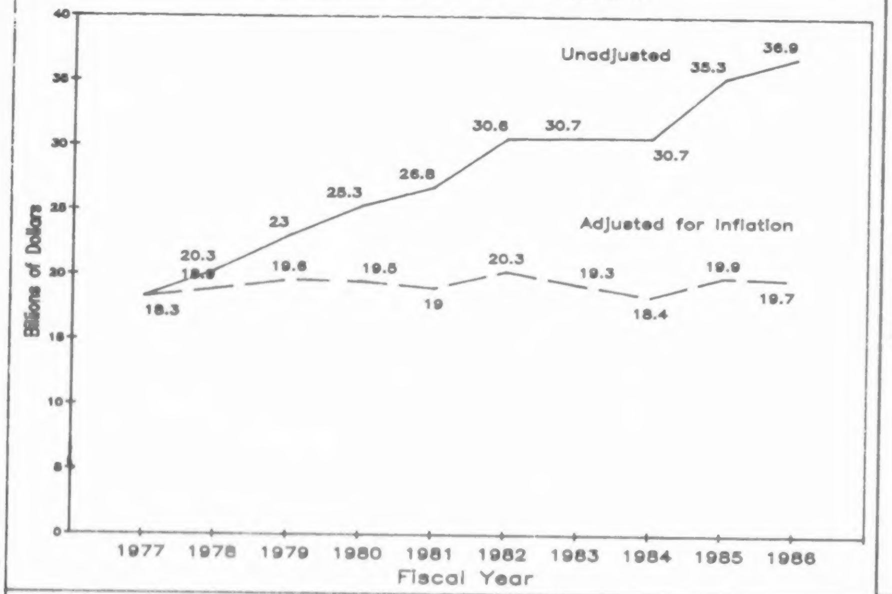
FY 1986 Total Federal Funds: $33.9 Million

By Facility Size, FY 1977–86

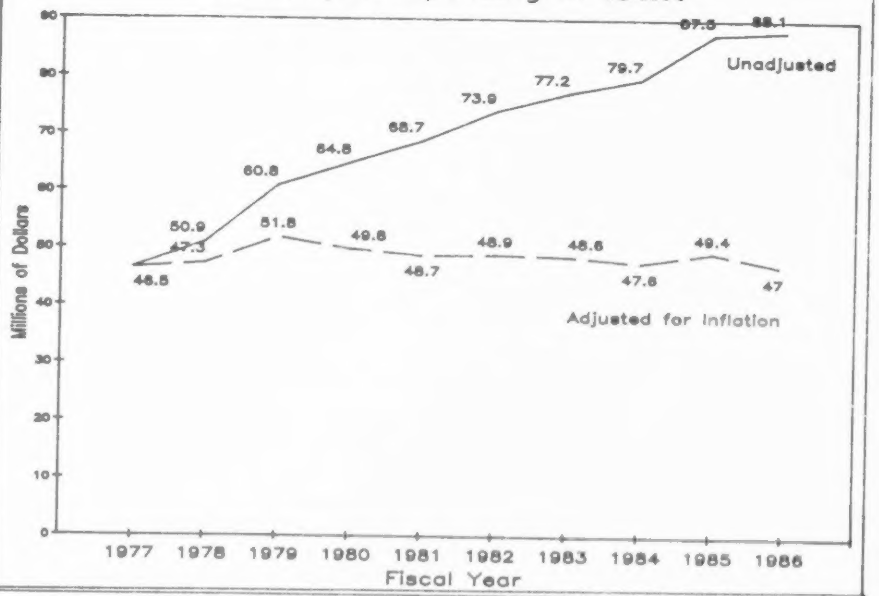


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

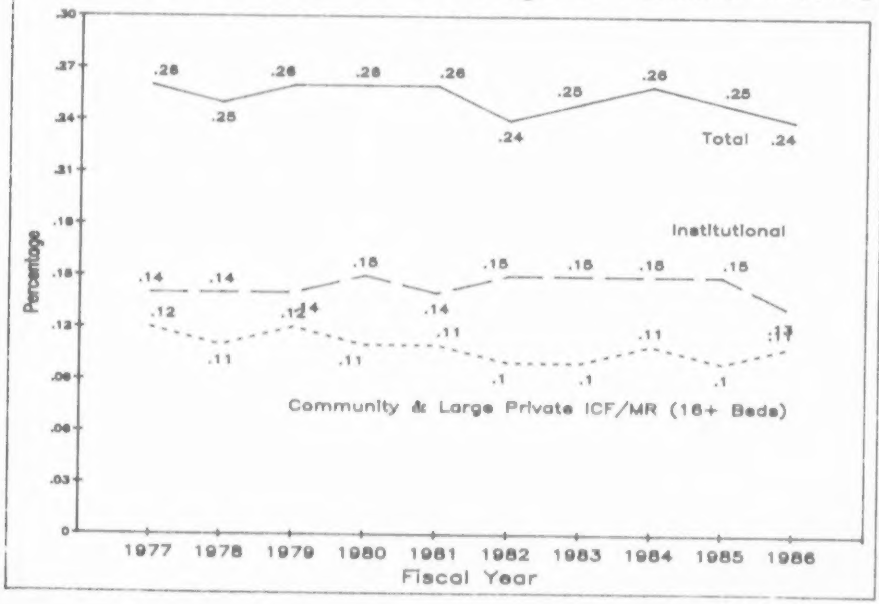
Personal Income in **IOWA**



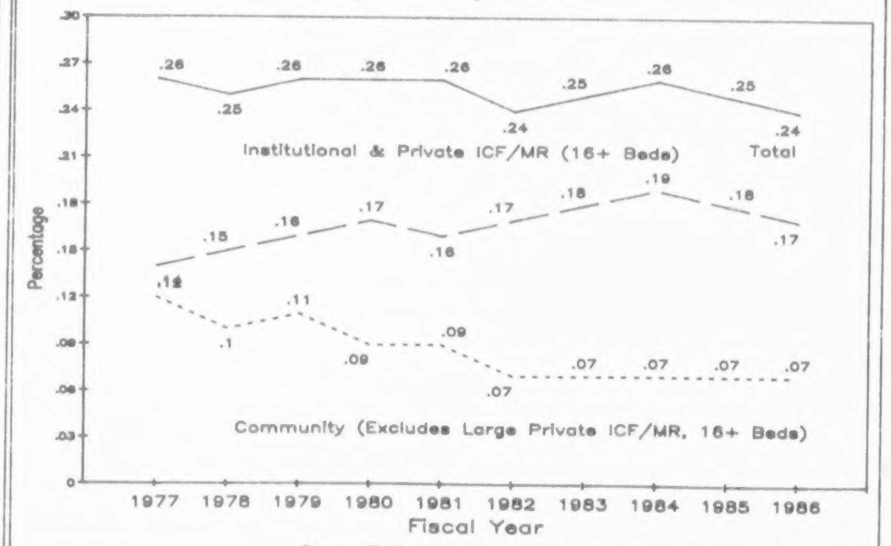
Total MR/DD Spending in **IOWA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

IOWA 4/29/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	57,027,000	62,406,700	73,660,000	79,615,000	87,018,000	94,522,000	99,706,400	104,922,000	117,753,700	118,184,500
TOTAL INSTITUTIONAL/COMMUNITY	46,560,000	50,931,700	60,839,000	64,883,000	68,795,000	73,944,000	77,230,400	79,770,000	87,532,700	88,229,500
STATE FUNDS	24,586,000	27,887,700	32,945,000	33,026,000	32,950,200	37,374,100	40,740,000	39,125,700	43,598,000	42,762,600
General Funds	19,098,000	21,860,700	10,344,000	9,260,000	9,638,200	9,507,100	13,982,000	11,142,700	13,061,000	12,816,900
SSI State Supplement	41,000	38,000	37,000	40,000	46,000	49,000	61,000	70,000	74,000	86,000
Other State Funds	5,447,000	5,989,000	22,564,000	23,726,000	23,266,000	27,818,000	26,697,000	27,913,000	30,463,000	29,859,700
FEDERAL FUNDS	21,974,000	23,044,000	27,894,000	31,857,000	35,844,800	36,569,900	36,490,400	40,644,300	43,934,700	45,466,900
Title XIX Funds	12,753,000	14,217,000	16,723,000	21,684,000	24,590,800	27,380,900	26,011,700	30,192,400	32,220,900	33,938,000
Title XX / SSBG Funds	9,221,000	8,827,000	10,585,000	9,809,000	10,514,000	8,359,000	8,554,000	8,480,000	9,168,500	9,113,300
Other Federal Funds	0	0	586,000	364,000	740,000	830,000	1,924,700	1,971,900	2,545,300	2,415,600
INSTITUTIONAL SERVICES FUNDS	25,075,000	29,276,700	33,117,000	37,599,000	38,456,000	44,656,000	45,908,400	47,008,000	51,392,400	47,904,300
STATE FUNDS	12,322,000	15,628,700	17,403,000	18,027,000	16,429,200	21,894,100	23,771,000	21,111,700	24,080,700	21,787,300
General Funds	12,236,000	15,291,700	2,467,000	1,914,000	1,748,200	3,060,100	6,729,000	3,558,700	4,256,700	3,853,300
Other State Funds	86,000	337,000	14,936,000	16,113,000	14,681,000	18,834,000	17,042,000	17,553,000	19,824,000	17,934,000
FEDERAL FUNDS	12,753,000	13,648,000	15,714,000	19,572,000	22,026,800	22,761,900	22,137,400	25,896,300	27,311,700	26,117,000
Federal ICF/MR	12,753,000	13,648,000	15,128,000	19,208,000	21,286,800	22,275,900	20,576,700	24,288,400	25,376,400	24,311,400
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	586,000	364,000	740,000	486,000	1,560,700	1,607,900	1,935,300	1,805,600
COMMUNITY WITH FEDERAL INCOME MAINT	31,952,000	33,130,000	40,543,000	42,016,000	48,562,000	49,866,000	53,798,000	57,914,000	66,361,300	70,280,200
COMMUNITY SERVICES FUNDS	21,485,000	21,655,000	27,722,000	27,284,000	30,339,000	29,288,000	31,322,000	32,762,000	36,140,300	40,325,200
STATE FUNDS	12,264,000	12,259,000	15,542,000	14,999,000	16,521,000	15,480,000	16,969,000	18,014,000	19,517,300	20,975,300
General Funds	6,862,000	6,569,000	7,877,000	7,346,000	7,890,000	6,447,000	7,253,000	7,584,000	8,804,300	8,963,600
SSI State Supplement	41,000	38,000	37,000	40,000	46,000	49,000	61,000	70,000	74,000	86,000
Other State Funds	5,361,000	5,652,000	7,628,000	7,613,000	8,585,000	8,984,000	9,655,000	10,360,000	10,639,000	11,925,700
FEDERAL FUNDS	9,221,000	9,396,000	12,180,000	12,285,000	13,818,000	13,808,000	14,353,000	14,748,000	16,623,000	19,349,900
ICF/MR Funds	0	569,000	1,595,000	2,476,000	3,304,000	5,105,000	5,435,000	5,904,000	6,844,500	9,626,600
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	25,000	295,000	300,000	360,000	680,000	702,900
Large Private	0	569,000	1,595,000	2,476,000	3,279,000	4,810,000	5,135,000	5,544,000	6,164,500	8,923,700
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	9,221,000	8,827,000	10,585,000	9,809,000	10,514,000	8,359,000	8,554,000	8,480,000	9,168,500	9,113,300
Other Federal Funds	0	0	0	0	0	344,000	364,000	364,000	610,000	610,000
FEDERAL INCOME MAINTENANCE	10,467,000	11,475,000	12,821,000	14,732,000	18,223,000	20,578,000	22,476,000	25,152,000	30,221,000	29,955,000
Suppl. Security Income (SSI)	6,165,000	6,694,000	7,246,000	8,111,000	9,909,000	11,325,000	12,485,000	14,826,000	16,771,000	17,895,000
Childhood Disability (SSDI)	4,302,000	4,781,000	5,575,000	6,621,000	8,314,000	9,253,000	9,991,000	10,326,000	13,450,000	12,060,000
F.F.P. Rate	57.13%	53.25%	51.96%	55.42%	56.57%	55.66%	55.35%	55.27%	55.24%	57.99%
Daily Institutional Population	1,397	1,380	1,360	1,342	1,323	1,269	1,240	1,225	1,228	1,166
Institutional Per Diem	49.18	58.12	66.71	76.55	79.64	96.41	101.43	104.85	114.66	112.56

KANSAS

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The State of Kansas' principal MR/DD services agency is the subdivision of Mental Retardation Services, within the Division of Mental Health and Retardation Services. The Division of MH/MR is located within the State Department of Social and Rehabilitation Services. Mental Retardation Services administers four institutions and twenty-eight community-based service agencies.

Budget Format. The FY 1983 and FY 1984 Governor's Budgets presented expenditure figures in the following format:

MR Services
State General Fund
Other Funds
Capital Improvements [excluded from the analysis]

State Hospital and Training Centers (listed individually) and Kansas Neurological Institute
State General Fund
Other Funds
Capital Improvements [excluded]

Note on Data Sources. Kansas Governor's Budget documents were reviewed for Budget Years 1979, 1982, 1983 and 1984. These documents provided "actual" expenditure figures for FYs 1977, '79, '80, '81, and '82; "estimate" figures for FYs 1978 and '83; and a "Governor's Recommended" figure for FY 1984. The estimated and recommended figures were subsequently updated based on appropriations.

The "MR Services" detail was lacking for FYs 1977-80 in these budget documents; the detail of "Other Funds" was lacking for FYs 1981-84; and there was a budget line within the Division of MH/MR entitled "Aid to Local Units of Government" for which it was not possible to distinguish MR and MH expenditure shares. Because of these limitations of interpreting expenditures from the state budget documents, we contacted R. Don Horner, Ph.D., Director of Mental Retardation (p.c.,telephone, 9/14/83). He forwarded correspondence (10/17/83) which provided "actual" FY 1977-83 and "appropriated" FY 1984 expenditure figures for institutional and community services (FY 1984 private ICF/MR figures were projected).

Average daily population figures for institutions for FY 1977-83 were provided by R. D. Horner, (p.c., telephone, 6/7/84). Expenditure and average daily population figures for institutional services for FY 1984 and FY 1985 (actual) and FY 1986 (estimated) were provided in 2/28/86 correspondence from Robert A. Clawson, Fiscal Administrator, Mental Health and Retardation Services, Department of Social and Rehabilitation Services. Also provided were community services expenditures for Developmental Disabilities Grants, State Formula Grants, and Special Grants for FY 1984 and FY 1985 (actual) and FY 1986 (estimated based on appropriations).

Expenditures for Private ICFs/MR Small (15 beds or less) and for ICFs/MR Large (sixteen or more beds) were provided by Don Look, Administrator, Adult Care Home Reimbursement, Adult Services, DSRS (p.c., telephone, 4/7/86). Expenditure figures for the Community Care Waiver and for Title XX/SSBG were provided by Janet Schalansky, Director, Adult Services (p.c., telephone, 4/1/86; 4/17/86). The Title XX/SSBG funds reported by Schalansky included revisions to figures in our previous (FYs 1977-84) analysis. These new Title XX/SSBG figures included figures for various day services for individuals with MR/DD, which the previous analysis figures had not. Also included in the new FYs 1977-86 Title XX/SSBG figures was the private match (@25% for FYs 1977-81; @12% for FYs 1982-86). In our analysis, these matching funds are included in the category Other State Funds.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the expenditures for Parsons State Hospital and Training Center, Norton State Hospital and Training Center, Winfield State Hospital and Training Center, and Kansas Neurological Institute.

III. COMMUNITY SERVICES FUNDS

Community services consisted of the state funds provided to twenty-eight community-based service agencies, and also the Federal funding sources noted below.

Other State Funds consisted of the private/county match to Federal Title XX/SSBG funds.

Private ICF/MR expenditures supported 640 private ICF/MR beds in FY 1984. There were several large facilities, and a total of 18 units utilizing the ICF/MR Fifteen Bed or Less standards, but in campus arrangements (p.c., R.D. Horner, 11/22/83). One facility, operated by McPherson County Diversified Services, was a free-standing fifteen-bed facility. Funding was managed by the Department of Welfare, Medical Services Office. FY 1977 data were extrapolated (the FY 1977/78 ratio was based on the FY 1978/79 ratio). In FY 1986, there were ten large ICFs/MR (four in the 85-100 range; four 50-bed facilities; and two 60-bed facilities). In addition, there were eleven smaller facilities in the 10-12 bed range.

Waiver. Figures in FYs 1984-86 consisted of the estimated Federal revenue available under the Title XIX Community Care Waiver. Since Waiver services were managed and budgeted by Medical Services, which budgeted for the state match, this match amount was added to the community services General Fund.

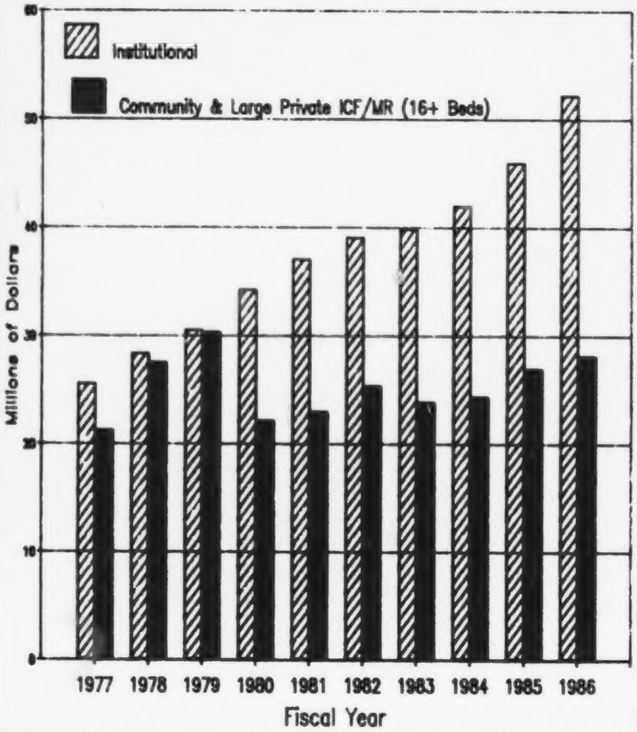
Federal Title XX/SSBG. Kansas statute allowed the Department of Social and Rehabilitation Services to receive local government funds as the 25% match to Federal Title XX/SSBG funds. These funds primarily were from counties, which utilized a mill tax, and were entered in this analysis as Other State Funds.

Other Federal Funds consisted of Developmental Disabilities Act Federal funds, which were service grants administered by the Division of MH/MR; not included in the analysis were DD Act Protection and Advocacy funds.

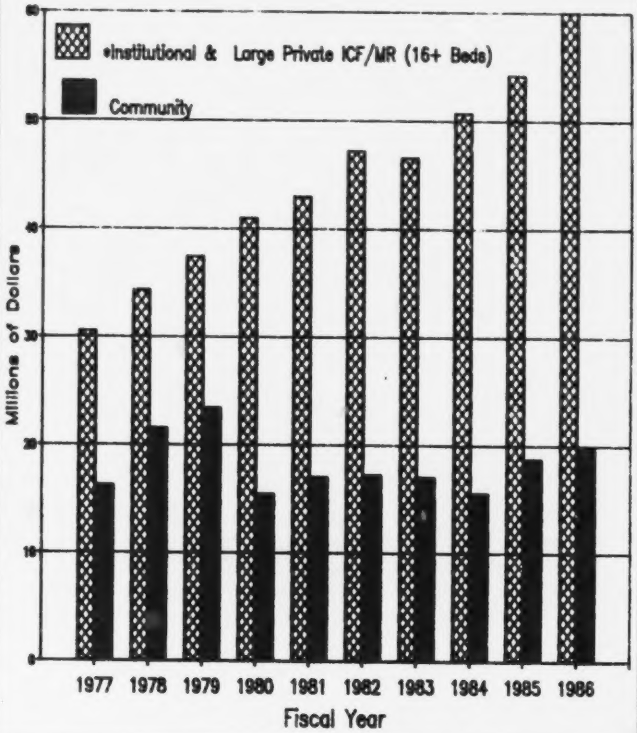
Additional Note: Services under the "Medical Card" for MR/DD clients were not included in the analysis. In a special report which Horner had done for a legislative commission reviewing Kansas MR/DD expenditures in FY 1983, he had noted that the Medical Card services for MR/DD clients (for physicians, prosthetics, dentists, etc.) amounted to an estimated $30.9 million in Federal/state Medicaid expenditure.

KANSAS

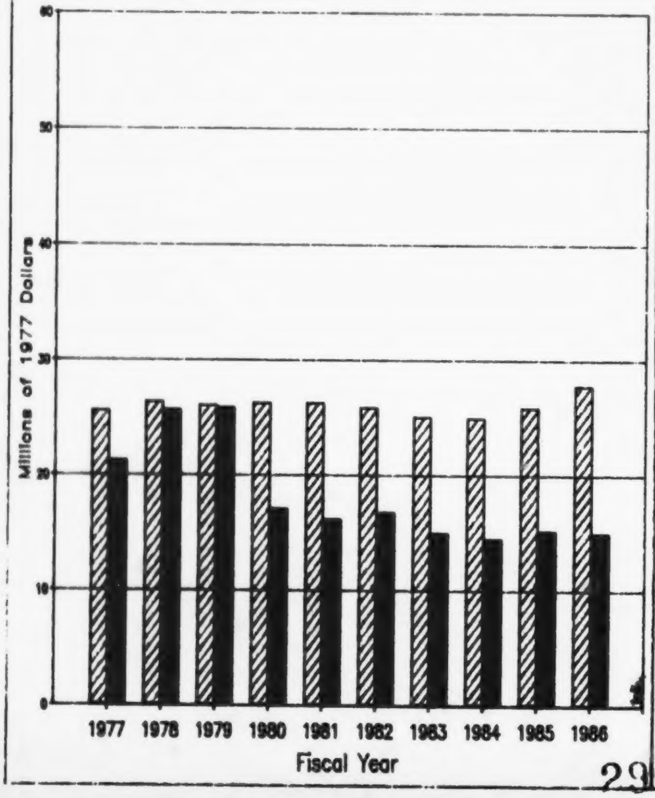
MR/DD Expenditures for *Institutional* & *Community* Services



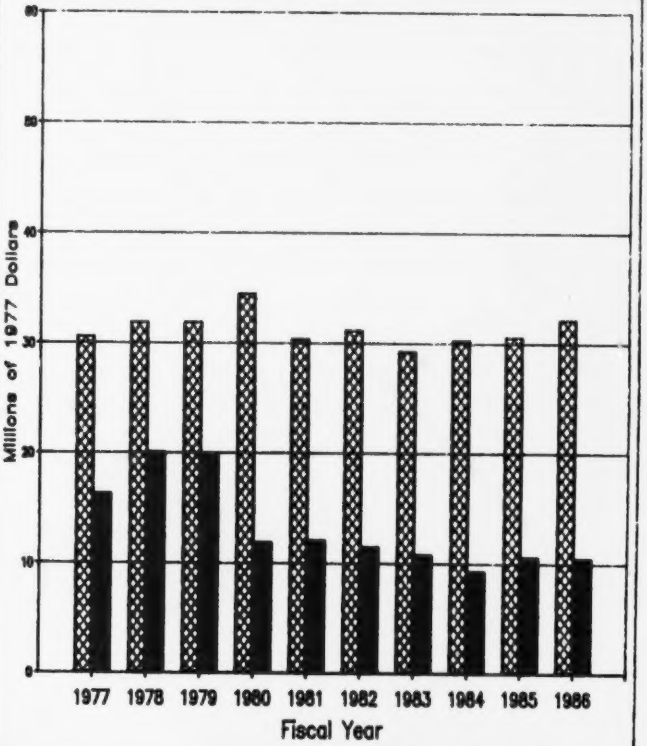
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



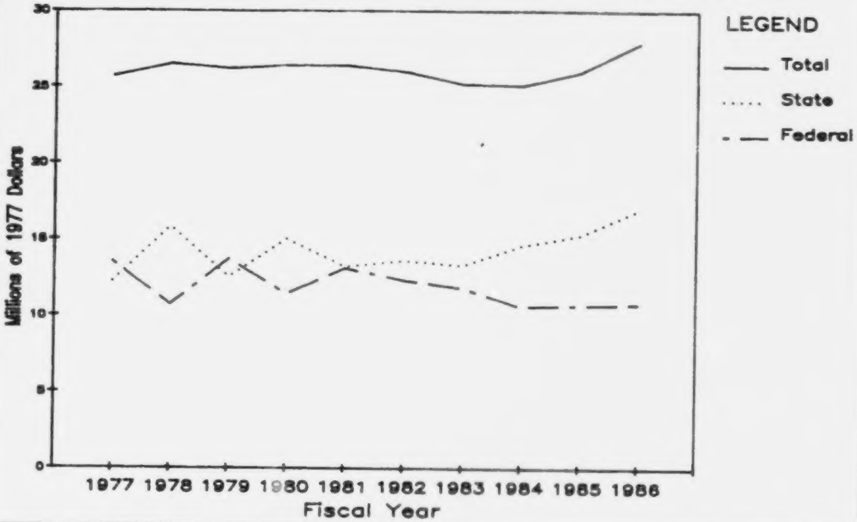
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

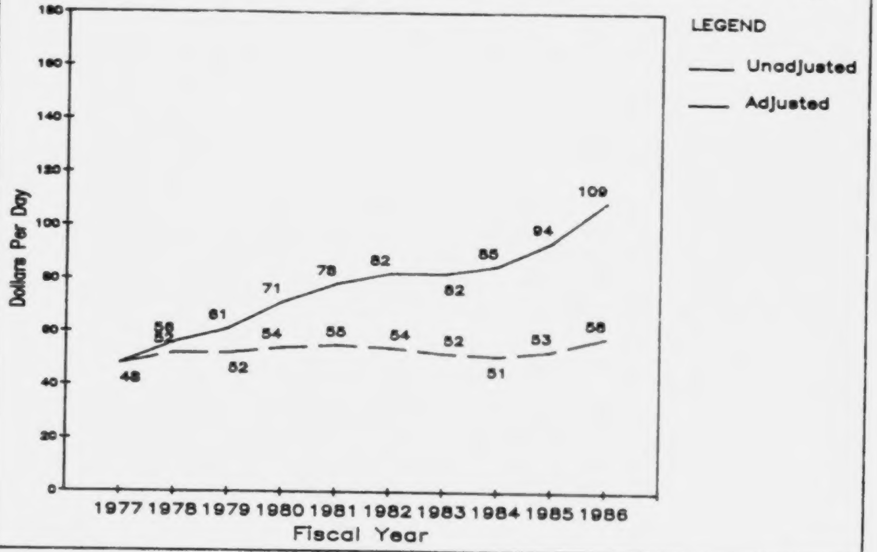
KANSAS

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

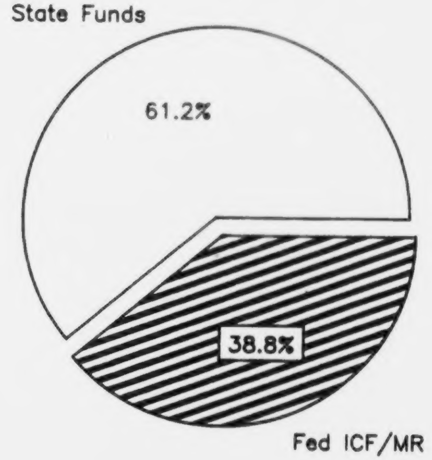


KANSAS

Institutional Per Diem Costs: FY 1977–86

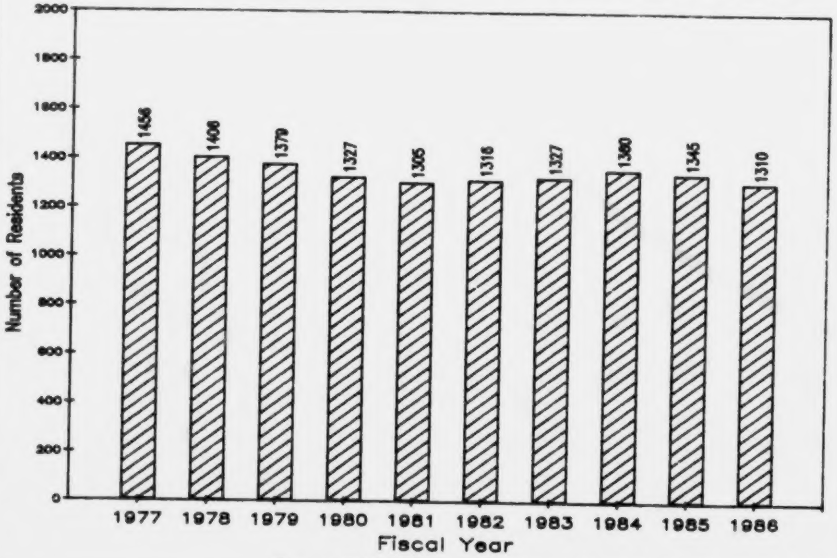


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $52.3 Million

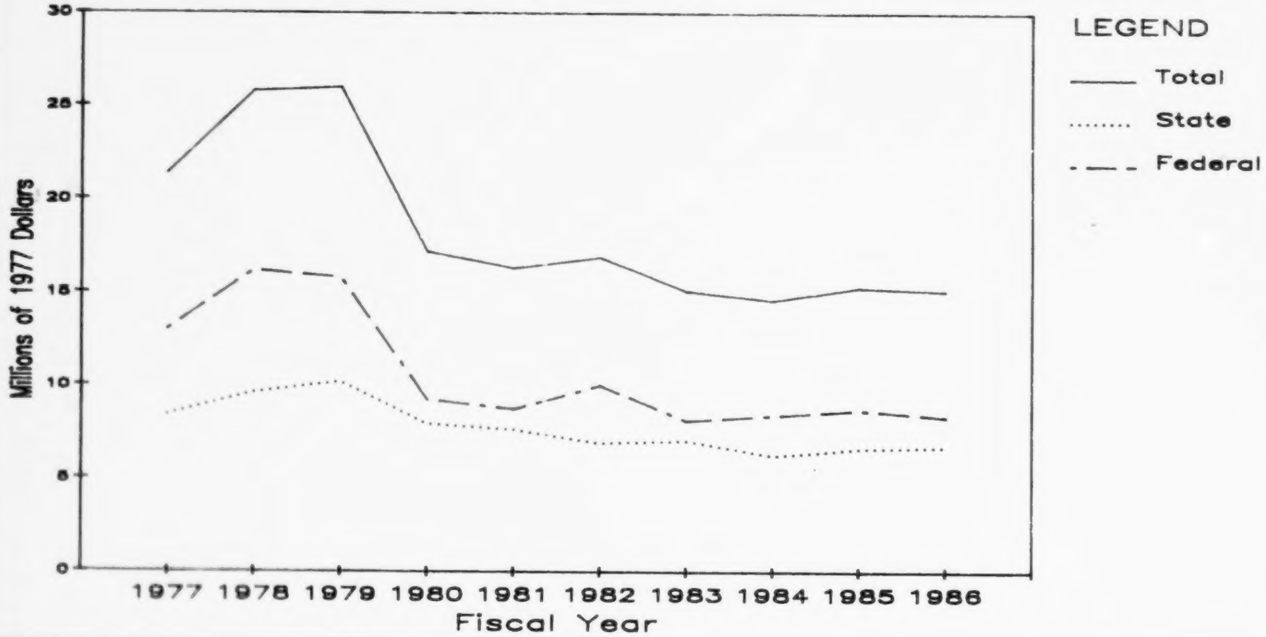
Average Daily Residents in Institutions



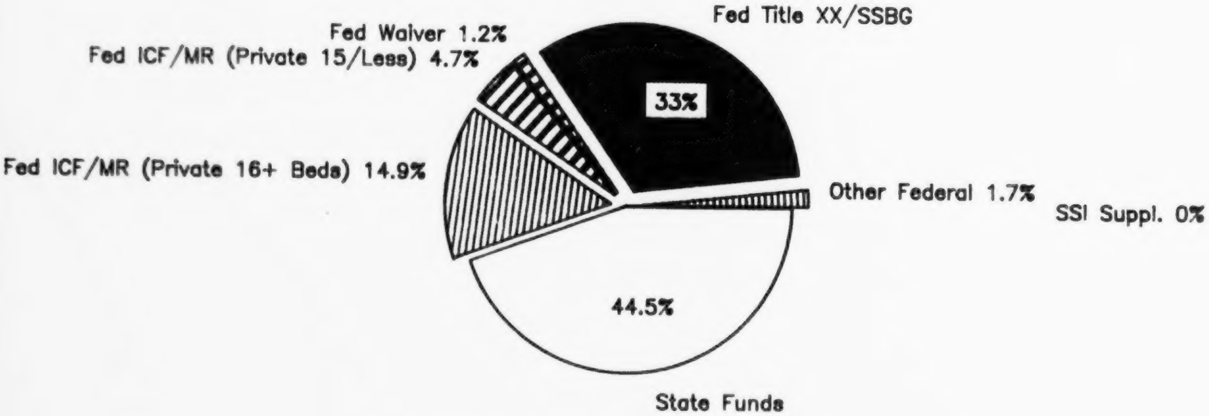
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

KANSAS

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

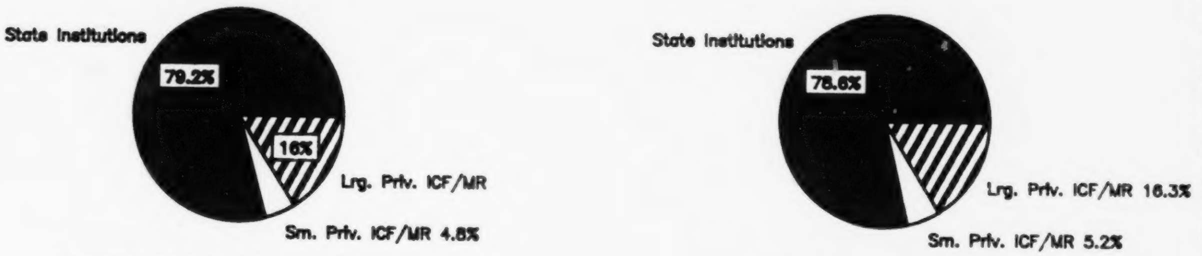


FY 1986 Total Funds: $28.3 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

KANSAS

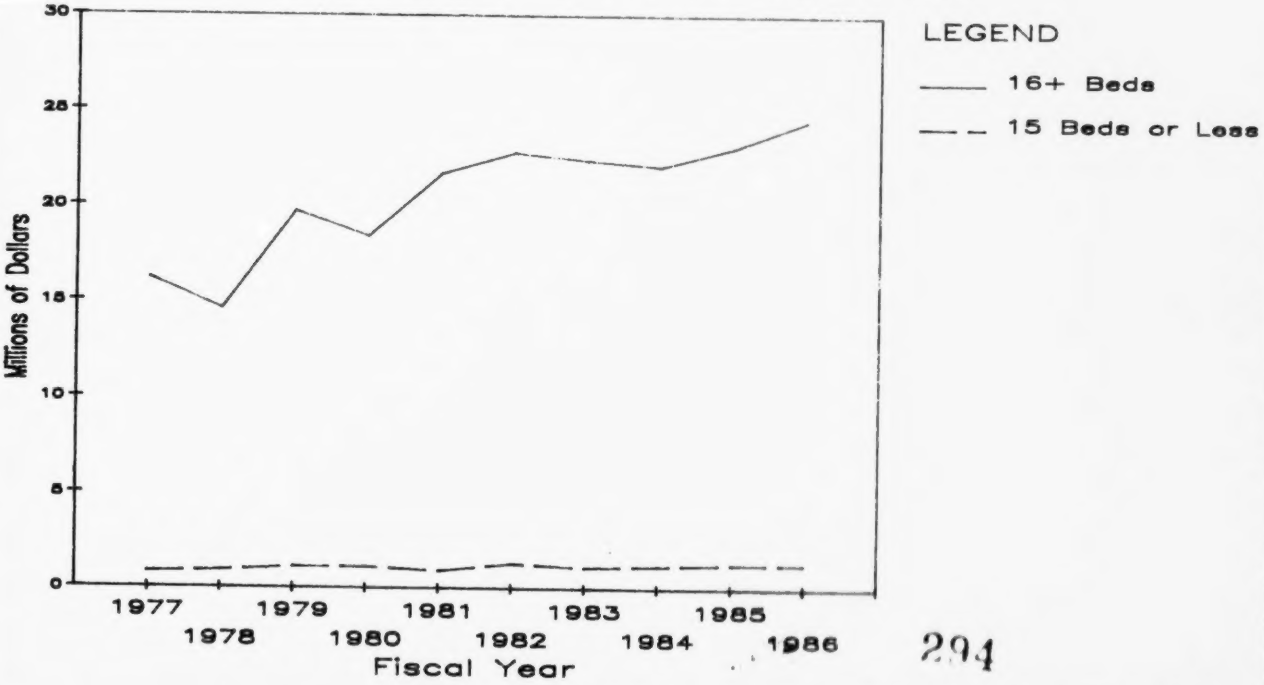
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $17.0 Million

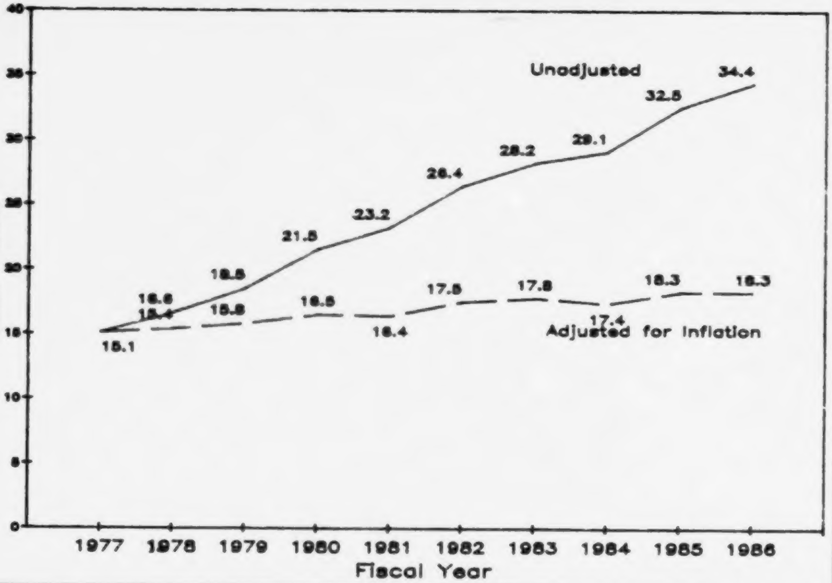
FY 1986 Total Federal Funds: $25.8 Million

By Facility Size, FY 1977–86

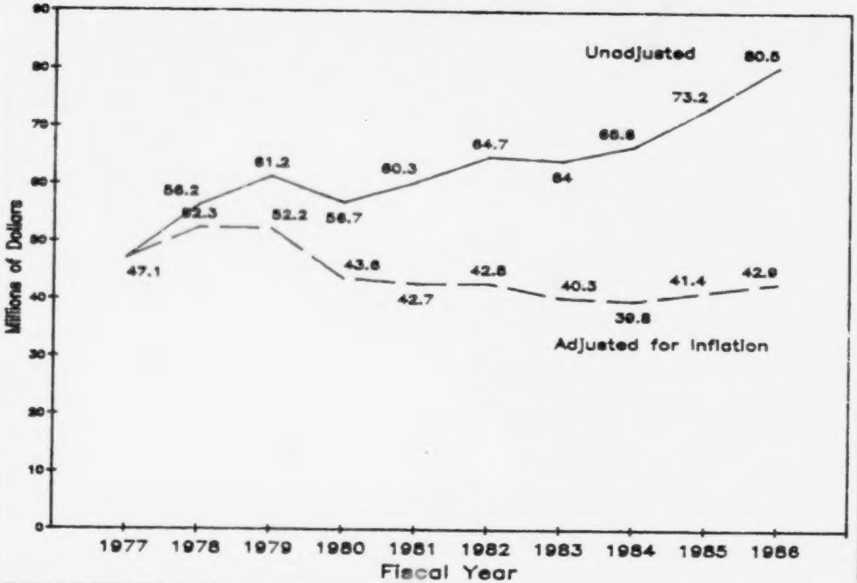


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

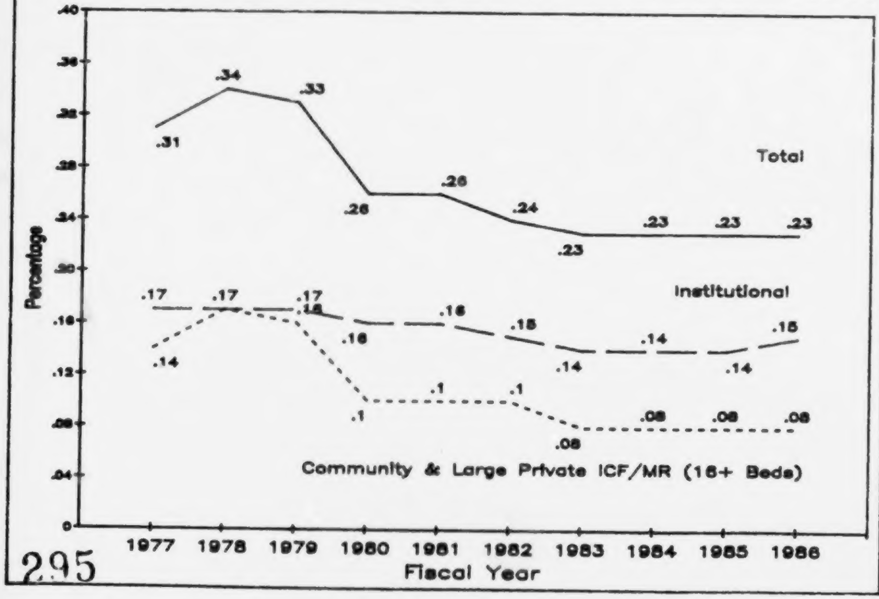
Personal Income in **KANSAS**



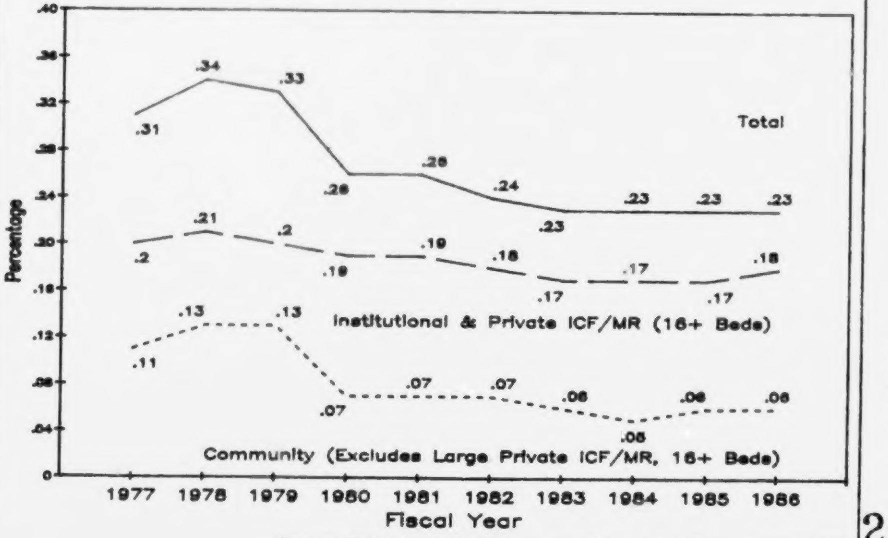
Total MR/DD Spending in **KANSAS**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

KANSAS 4/17/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	55,870,100	65,974,500	71,918,000	68,962,700	75,256,200	81,413,300	82,300,400	87,006,400	96,273,900	104,500,100
TOTAL INSTITUTIONAL/COMMUNITY	47,028,100	56,176,500	61,200,000	56,689,700	60,306,200	64,686,300	63,953,400	66,550,400	73,207,900	80,505,100
STATE FUNDS	20,546,500	27,327,600	26,568,000	29,858,400	29,459,500	31,036,200	32,215,000	34,726,600	38,789,100	44,554,900
General Funds	17,480,000	22,983,000	22,045,000	27,543,000	26,837,000	29,776,000	31,127,000	33,644,600	37,524,000	43,284,000
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	3,066,500	4,344,600	4,523,000	2,315,400	2,622,500	1,260,200	1,088,000	1,082,000	1,265,100	1,270,900
FEDERAL FUNDS	26,481,600	28,848,900	34,632,000	26,831,300	30,846,700	33,650,100	31,738,400	31,823,800	34,418,800	35,950,200
Title XIX Funds	16,983,000	15,580,000	20,767,000	19,479,000	22,631,000	24,116,000	23,424,000	23,379,500	24,731,000	26,157,500
Title XX / SSBG Funds	9,199,600	13,033,900	13,569,000	6,946,300	7,867,700	9,241,100	7,978,400	7,934,700	9,277,000	9,320,000
Other Federal Funds	299,000	235,000	296,000	406,000	348,000	293,000	336,000	509,600	410,800	472,700
INSTITUTIONAL SERVICES FUNDS	25,674,000	28,482,000	30,714,000	34,361,000	37,243,000	39,218,000	39,957,000	42,077,200	46,087,600	52,256,800
STATE FUNDS	12,217,000	17,006,000	14,631,000	19,553,000	18,706,000	20,619,000	21,151,000	24,386,900	27,079,500	31,968,000
General Funds	12,217,000	17,006,000	14,631,000	19,553,000	18,706,000	20,619,000	21,151,000	24,386,900	27,079,500	31,968,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	13,457,000	11,476,000	16,083,000	14,808,000	18,537,000	18,599,000	18,806,000	17,690,300	19,008,100	20,288,800
Federal ICF/MR	13,457,000	11,476,000	16,083,000	14,808,000	18,537,000	18,599,000	18,806,000	17,690,300	19,008,100	20,288,800
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	30,196,100	37,492,500	41,204,000	34,601,700	38,013,200	42,195,300	42,343,400	44,929,200	50,186,300	52,243,300
COMMUNITY SERVICES FUNDS	21,354,100	27,694,500	30,486,000	22,328,700	23,063,200	25,468,300	23,996,400	24,473,200	27,120,300	28,248,300
STATE FUNDS	8,329,500	10,321,600	11,937,000	10,305,400	10,753,500	10,417,200	11,064,000	10,339,700	11,709,600	12,586,900
General Funds	5,263,000	5,977,000	7,414,000	7,990,000	8,131,000	9,157,000	9,976,000	9,257,700	10,444,500	11,316,000
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	3,066,500	4,344,600	4,523,000	2,315,400	2,622,500	1,260,200	1,088,000	1,082,000	1,265,100	1,270,900
FEDERAL FUNDS	13,024,600	17,372,900	18,549,000	12,023,300	12,309,700	15,051,100	12,932,400	14,133,500	15,410,700	15,661,400
ICF/MR Funds	3,526,000	4,104,000	4,684,000	4,671,000	4,094,000	5,517,000	4,618,000	5,652,900	5,433,200	5,535,400
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	816,000	949,000	1,084,000	1,081,000	947,000	1,276,000	1,068,000	1,214,600	1,296,100	1,332,100
Large Private	2,710,000	3,155,000	3,600,000	3,590,000	3,147,000	4,241,000	3,550,000	4,438,300	4,137,100	4,203,300
Other Title XIX Funds	0	0	0	0	0	0	0	36,300	289,700	333,300
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	36,300	289,700	333,300
Title XX / SSBG Funds	9,199,600	13,033,900	13,569,000	6,946,300	7,867,700	9,241,100	7,978,400	7,934,700	9,277,000	9,320,000
Other Federal Funds	299,000	235,000	296,000	406,000	348,000	293,000	336,000	509,600	410,800	472,700
FEDERAL INCOME MAINTENANCE	8,842,000	9,798,000	10,718,000	12,273,000	14,950,000	16,727,000	18,347,000	20,456,000	23,066,000	23,995,000
Suppl. Security Income (SSI)	4,847,000	5,358,000	5,541,000	6,125,000	7,230,000	8,135,000	9,070,000	10,868,000	12,213,000	12,797,000
Childhood Disability (SSDI)	3,995,000	4,440,000	5,177,000	6,148,000	7,720,000	8,592,000	9,277,000	9,588,000	10,853,000	11,198,000
F.F.P. Rate	54.02%	52.77%	52.35%	53.23%	53.52%	52.76%	52.50%	50.61%	50.15%	50.00%
Daily Institutional Population	1,456	1,406	1,379	1,327	1,305	1,316	1,327	1,360	1,345	1,310
Institutional Per Diem	48.31	55.50	61.02	70.75	78.19	81.65	82.50	84.53	93.88	109.29

KENTUCKY

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The DD Program has for many years been located in the Department for Human Resources, Bureau for Health Services. The Director of the Division of Community Services for MR is the state MR Director. There have been a number of reorganizations in the Department over the eight year time span of our study. In FY 1977 and then again in FYs 1980 and '81, within the Bureau for Health Services, there was a separate MR Services Division. In the interim, FYs 1978 and '79, MR and MH Services were combined in the budget. Since FY 1982, there has been a distinct organizational entity, the Division of Community Services for MR, but MH and MR expenditures are combined in the Executive Budget.

Budget Format. In the 1976-1978 Biennial Executive Budget, the MR program appeared in the Budget as follows:

Department for Human Resources

Bureau for Health Services
  Prevention and Treatment of MR
    General Fund
      Regular Appropriation
      Special Appropriation
      Total
    Agency Receipts
      Balance Brought Forward
      Current Receipts
      Total
    Federal Funds

Total expenditures were also displayed by object classification (Personnel, Operating, Capital Outlay) and by subprogram (Prevention, Inpatient Treatment, and Outpatient Treatment).

In the FY 1978-80 period, under the same Bureau for Health Services, and with the same funding source categories, MR was combined with mental health under "Mental Health and Mental Retardation Services."

In the FY 1980-82 Budget, still under Bureau for Health Services, MR had its own separate program, again called "Mental Retardation Services." The institutional and community programs were combined in the funding source breakdowns.

In the FY 1982-84 and FY 1984-86 budgets, MR expenditures were combined with MH again under two programs in the Bureau for Health Services:

Community MH-MR Services
Residential MH-MR Services

Note on Data Sources. Since the Executive Budget document did not give sufficient funding detail each year, actual expenditure data for the FY 1977-82 period was obtained from Andrew Jay Dowds, Associate Director, Office for Policy and Management, Finance and Administration Department (p.c., correspondence, 11/30/83). Further clarification was provided by Gerry Snelling, Division of Fiscal Services, Department for Human Resources (p.c., telephone, 12/8/83 and 12/9/83). Gerry Snelling provided expenditure data for the FYs 1983-86 period (p.c., telephone, 5/1/86; correspondence, 8/4/86). The aggregated population at these four facilities over the past 10 years was provided by Gerry Snelling (p.c., telephone, 5/21/84 and 5/1/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional Services includes funds for four state-run institutions: Hazelwood, Oakwood, Outwood, and the ICF/MR unit at Central State Hospital.

State General Fund expenditures included some administrative costs. In accordance with the project's operational definitions, the following amounts representing central administration were deducted from the "General Fund" ($'s in thousands):

FY 1977 - $1,399
FY 1978 - 2,264
FY 1979 - 2,443
FY 1981 - 5,290
FY 1982 - 5,212

Central administration costs were excluded from the FY 1983-86 figures provided by Snelling (p.c., telephone, 5/1/86; correspondence, 8/4/86).

Other State Funds included the state share of Title XIX and estimates of the third party pay receipts at the state institutions. The private pay amount was estimated by Snelling to be approximately 4% of the budget category "Agency Receipts."

Federal ICF/MR appeared in the Executive Budget under the heading "Agency Receipts." The amounts reported were gross dollars, including federal and state share. The FY 1977-82 federal share was calculated using the federal share matching rates, obtained from HCFA and verified by the state. FYs 1983-86 figures were provided by Snelling (p.c., telephone, 5/1/86; correspondence, 8/4/86).

Other Federal Funds were reported in the Executive Budget under the category "Federal Funds." They included ESEA, Title I/Chapter I; Foster Grandparents; and School Lunch. The FY 1986 figure was an estimated amount.

III. COMMUNITY SERVICES FUNDS

Community services were delivered through the "Comp Care Centers" which were multi-county, quasi-public service agencies providing individuals with mental health and mental retardation services.

State General Funds were composed of "state funds" identified by Snelling and the state Title XIX match for private ICFs/MR. The state match for waiver funds was already encompassed in Snelling's "state funds" figures.

Federal ICF/MR Funds in Kentucky were provided to five facilities, all of the 16-beds or larger classification. Expenditures are carried in the budget of the Bureau of Social Insurance. Figures were provided by Gerry Snelling (p.c., telephone, 12/9/83, 12/12/83, and 5/1/86; correspondence, 8/4/86). FYs 1977-86 figures were obtained from Bureau cost reports. They included private pay and Medicare in addition to Title XIX funds. The Bureau recommended subtracting 4% from each year's expenditure figure to approximate the third party pay and Medicare costs. Below are listed these estimates, excluded each year from the analysis ($'s in thousands).

FY	Private Pay & Medicare Estimate (4%)
1978	$ 58
1979	184
1980	278
1981	328
1982	398
1983	360
1984	383
1985	402
1986	428

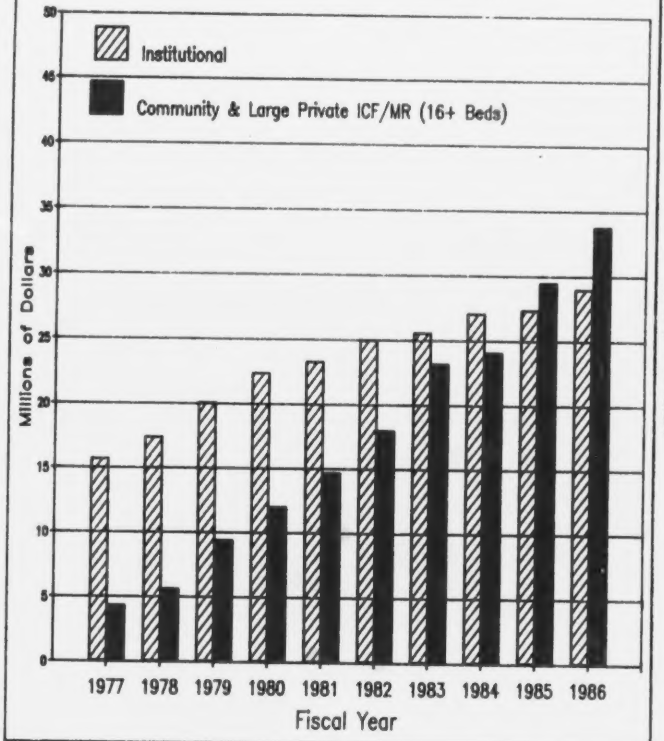
Title XIX waiver funding began in FY 1984; services were delivered by the Comp Care Centers. Prior to FY 1984, there were no state-run community ICFs/MR.

Title XX/SSBG. Federal Title XX funds were included in the "Federal Funds" budget category in the State Budget. Exact figures were provided by Jay Dowds (p.c., letter, 11/30/83). The state matching dollars were included with State General Fund line.

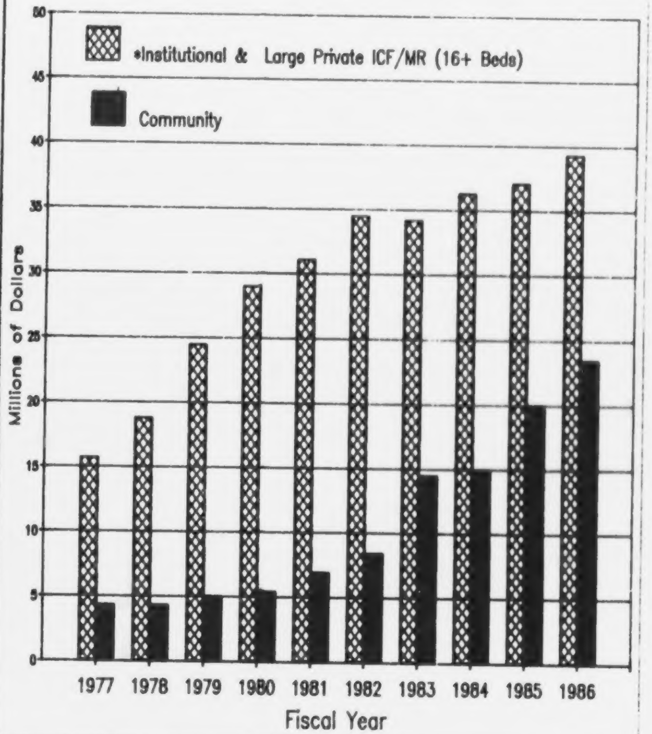
Other Federal Funds were DD Council (DDSA) funds.

KENTUCKY

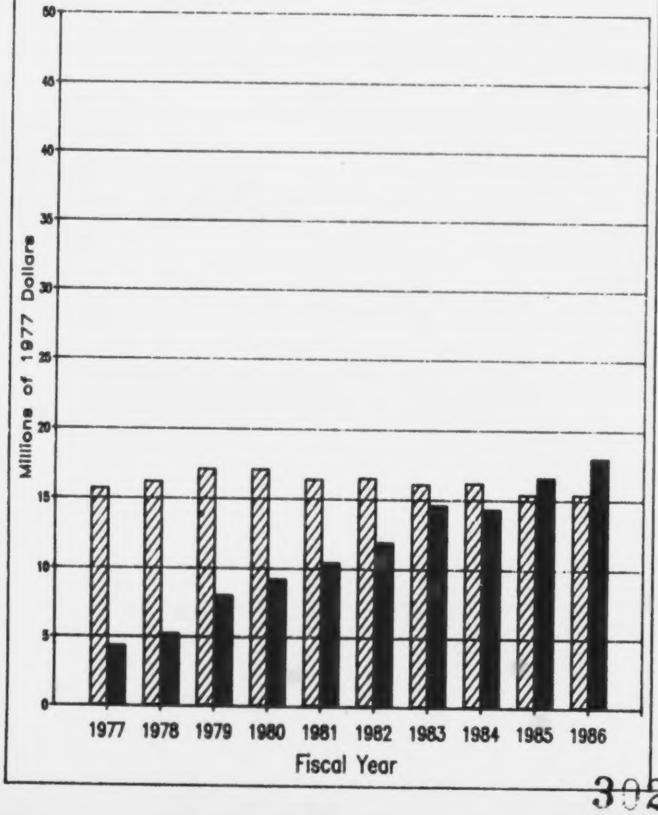
MR/DD Expenditures for *Institutional* & *Community* Services



MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



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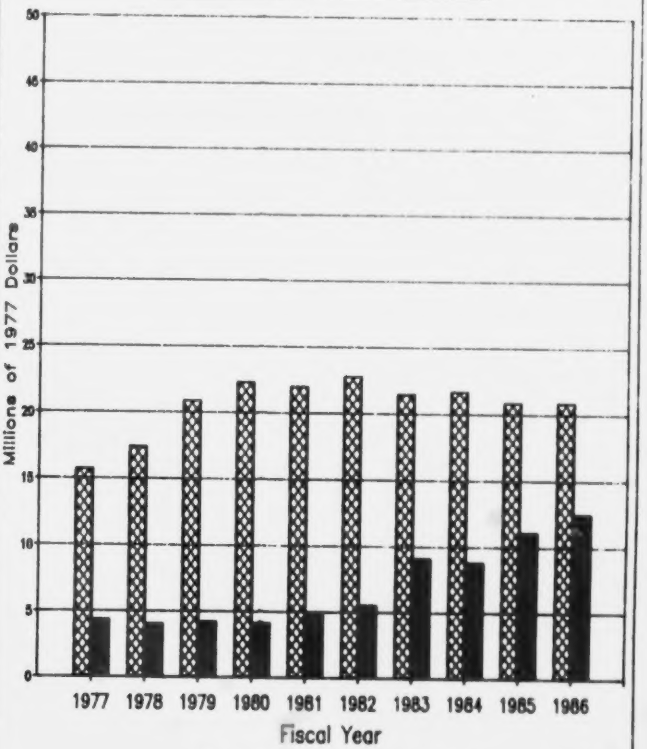
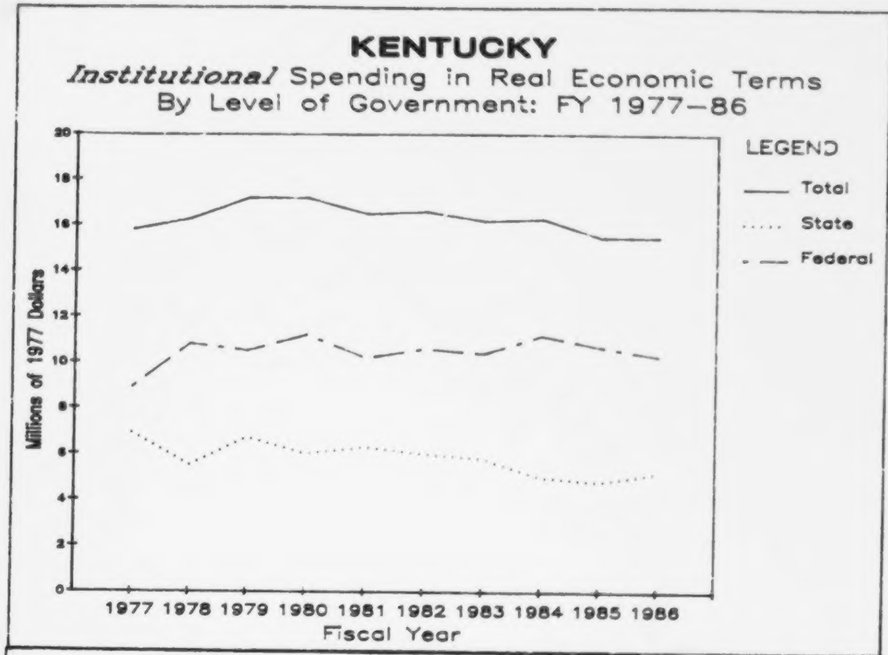
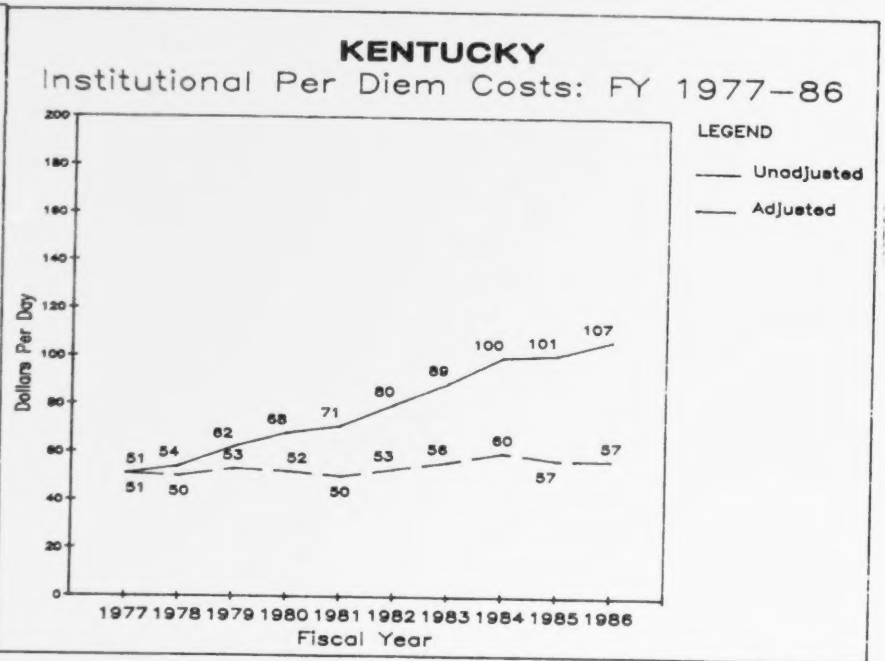


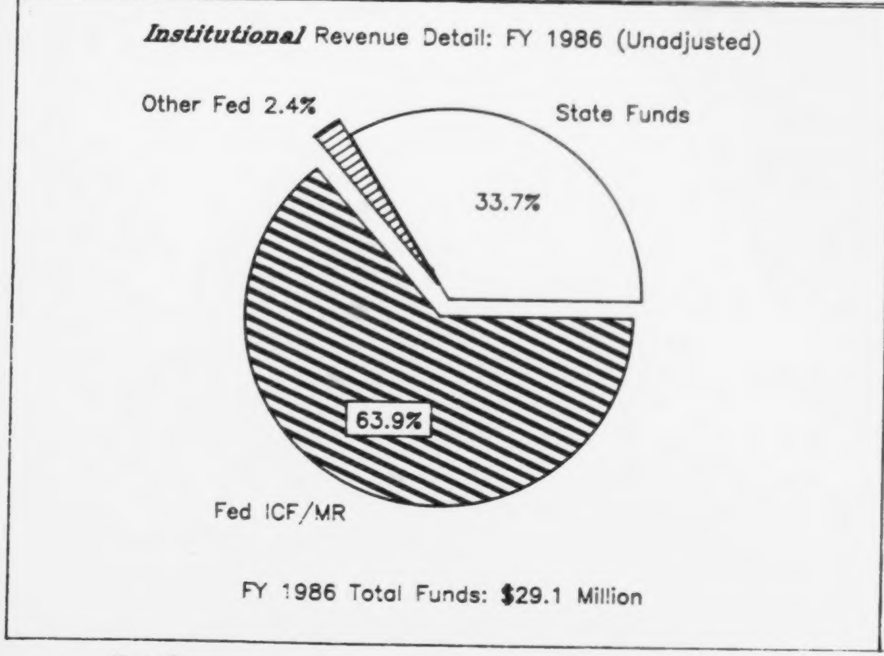
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988


KENTUCKY

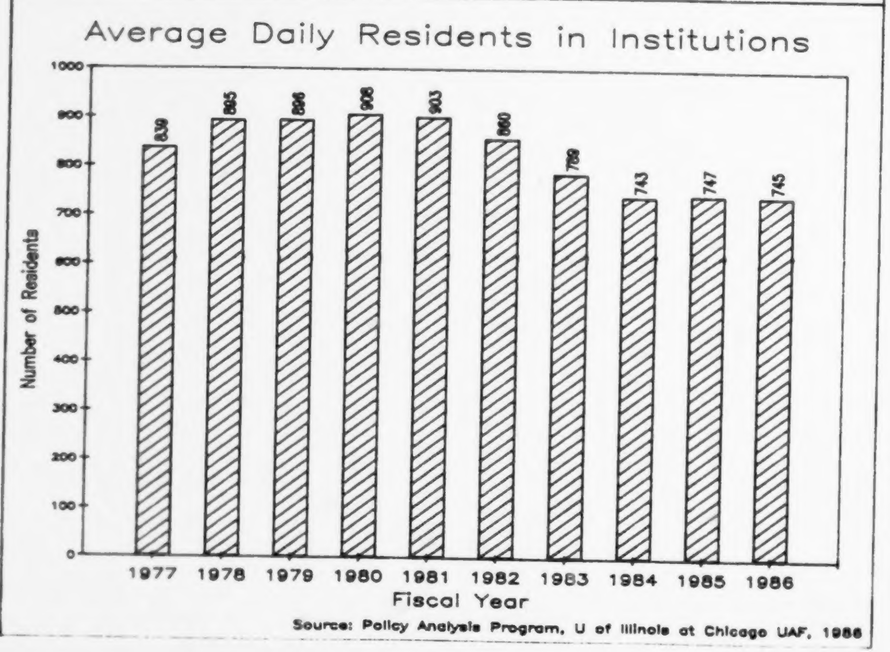
Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86


KENTUCKY

Institutional Per Diem Costs: FY 1977–86


Institutional Revenue Detail: FY 1986 (Unadjusted)

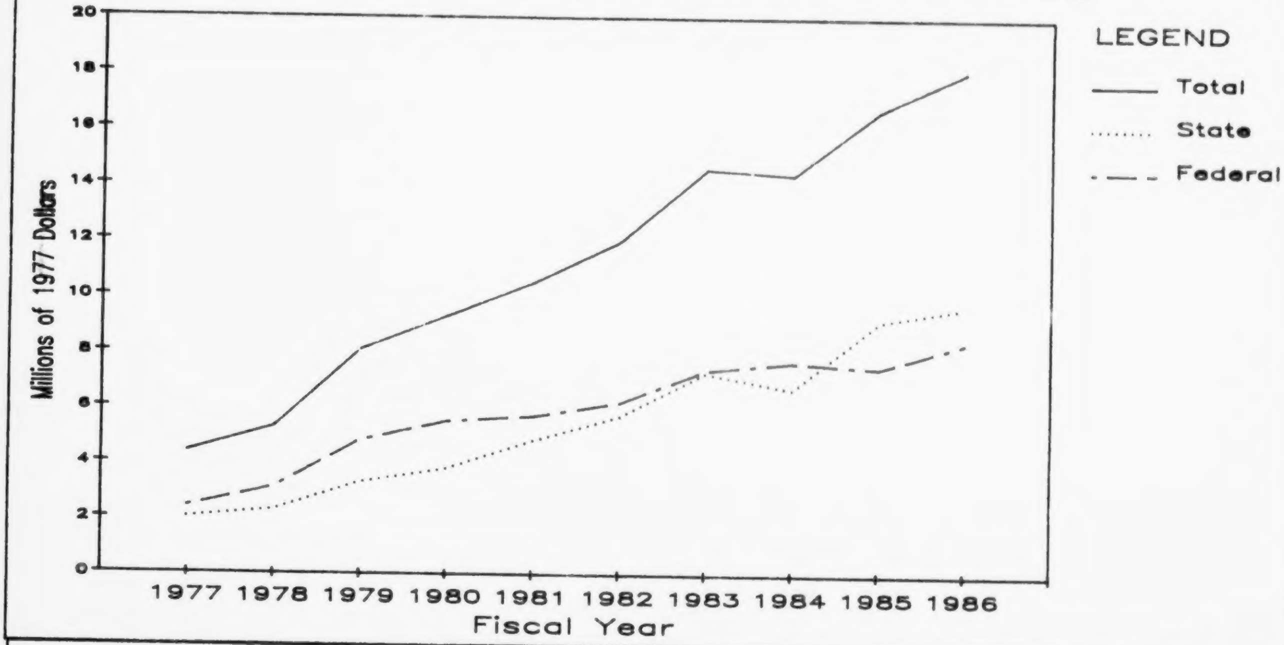
FY 1986 Total Funds: $29.1 Million


Average Daily Residents in Institutions

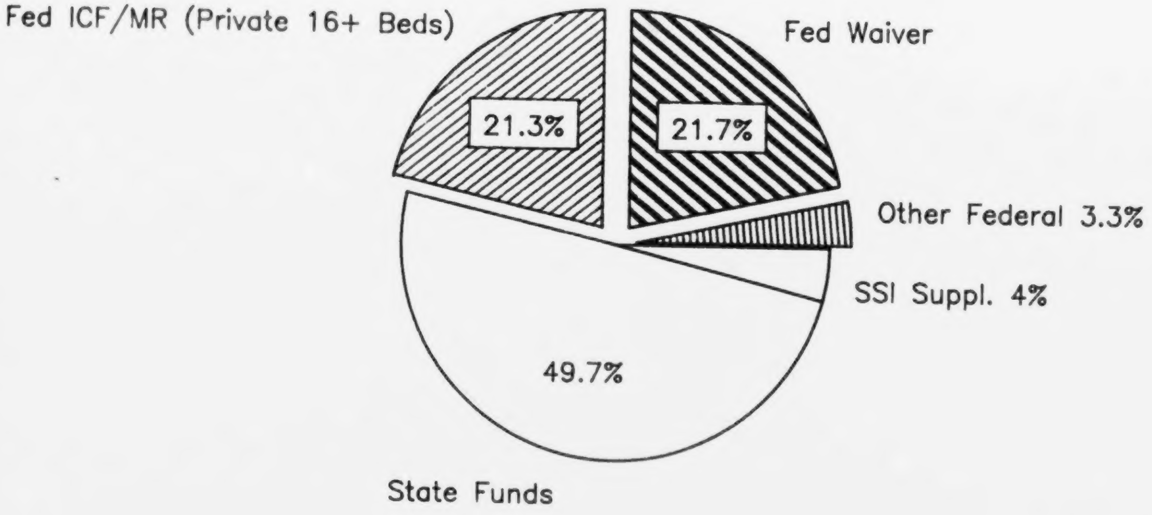
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

KENTUCKY

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

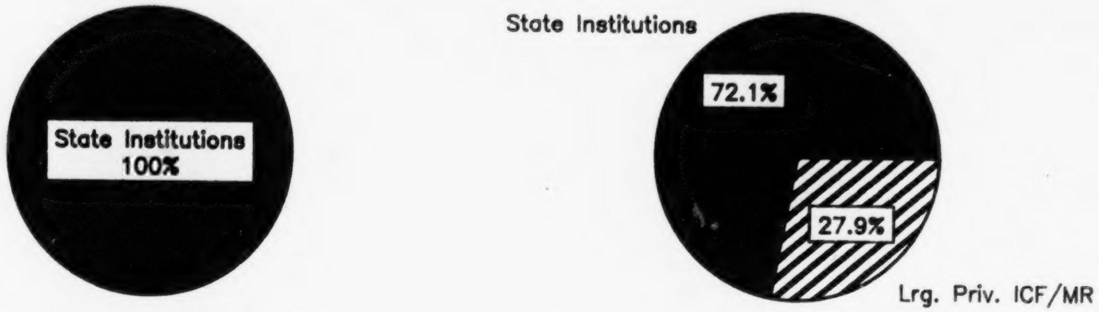


FY 1986 Total Funds: $33.9 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

KENTUCKY

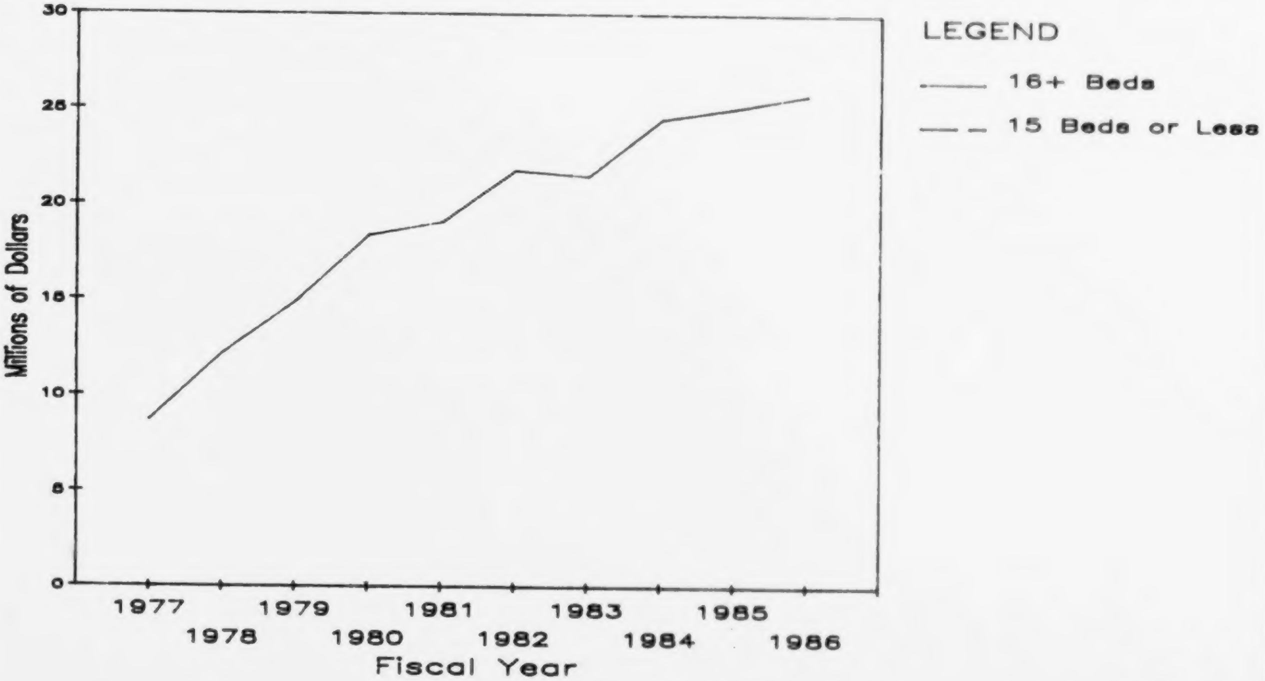
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $8.7 Million

FY 1986 Total Federal Funds: $25.8 Million

By Facility Size, FY 1977–86



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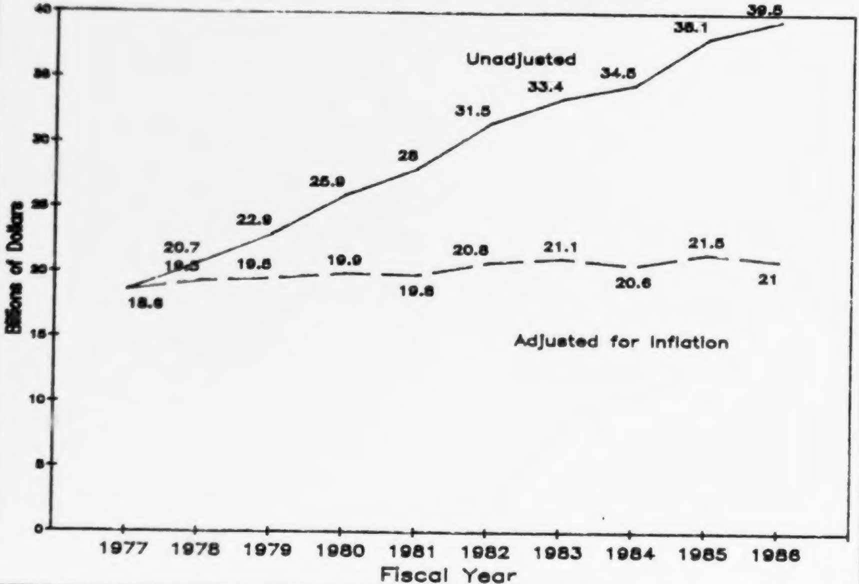
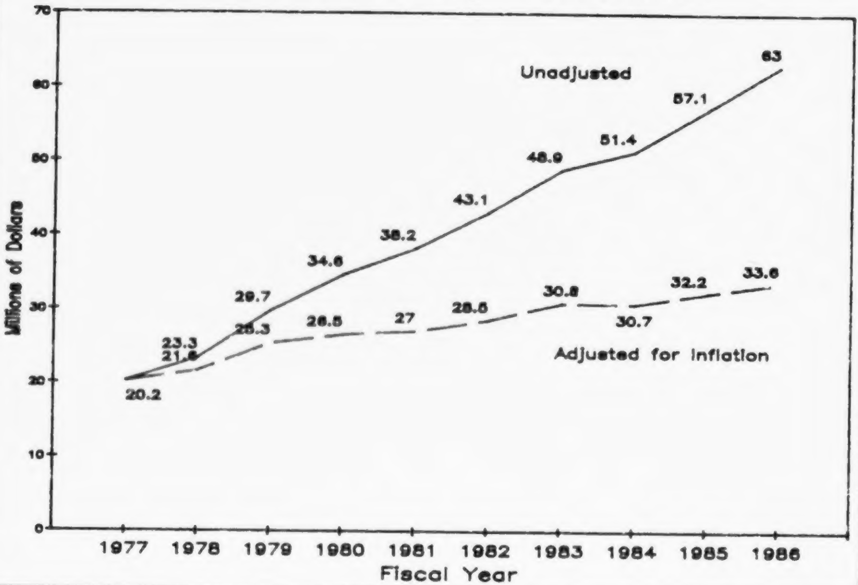
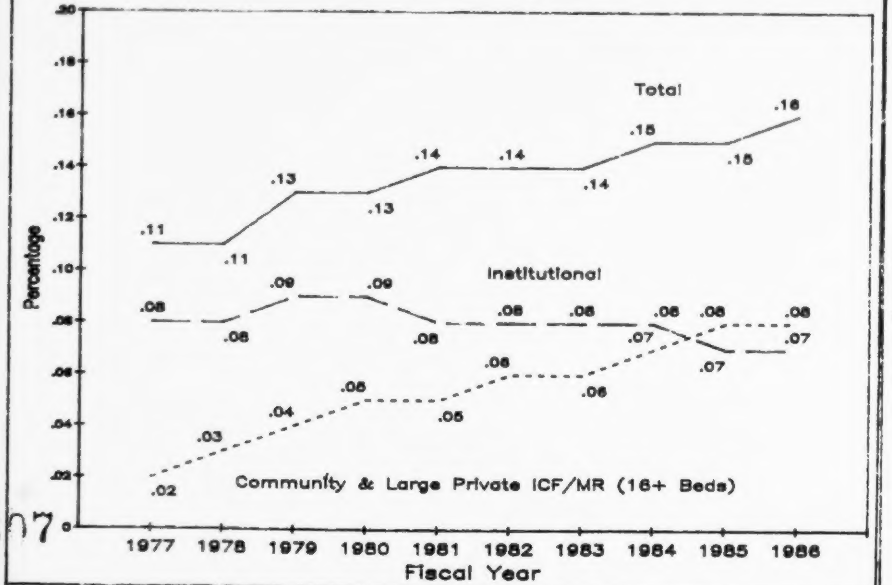
Personal Income in **KENTUCKY**



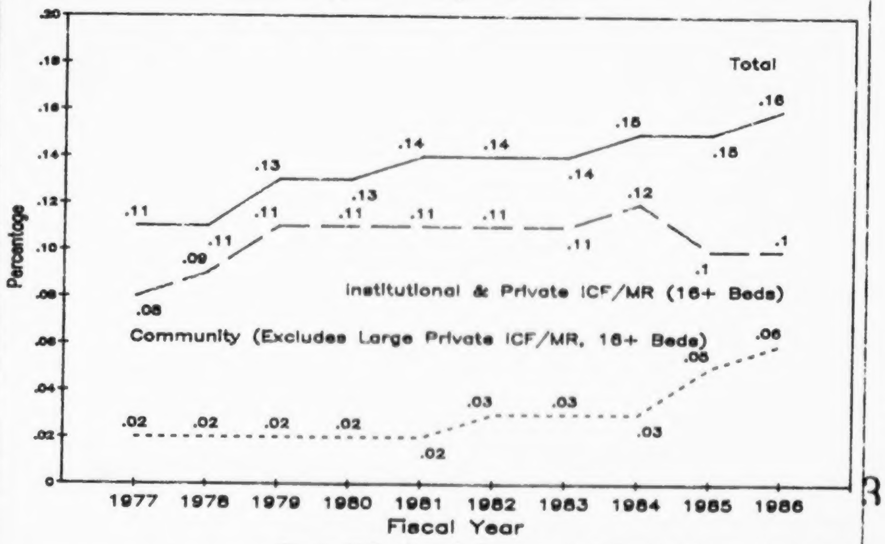
Total MR/DD Spending in **KENTUCKY**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

KENTUCKY 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	48,636,000	54,563,000	64,295,000	74,689,000	87,788,000	99,037,000	109,835,400	118,951,800	130,738,600	142,548,900
TOTAL INSTITUTIONAL/COMMUNITY	20,342,000	23,464,000	29,892,000	34,786,000	38,415,000	43,324,000	49,159,400	51,622,800	57,282,600	63,024,900
STATE FUNDS	9,069,000	8,582,000	11,919,000	13,046,000	15,849,000	17,866,000	20,972,200	19,872,700	25,043,100	28,017,700
General Funds	3,842,000	1,687,000	4,619,000	4,194,000	7,089,000	8,255,000	10,747,900	10,073,500	15,075,700	17,848,100
SSI State Supplement	1,214,000	1,332,000	1,473,000	1,494,000	1,480,000	1,470,000	1,445,000	1,413,000	1,495,000	1,339,000
Other State Funds	4,013,000	5,563,000	5,827,000	7,358,000	7,280,000	8,141,000	8,779,300	8,386,200	8,472,400	8,830,600
FEDERAL FUNDS	11,273,000	14,882,000	17,973,000	21,740,000	22,566,000	25,458,000	28,187,200	31,750,100	32,239,500	35,007,200
Title XIX Funds	8,732,000	12,199,000	14,870,000	18,427,000	19,084,000	21,761,000	21,480,900	25,037,300	30,682,800	33,217,400
Title XX / SSBG Funds	1,800,000	1,830,000	1,860,000	1,890,000	1,940,000	2,115,000	5,000,000	5,200,000	0	0
Other Federal Funds	741,000	853,000	1,243,000	1,423,000	1,542,000	1,582,000	1,706,300	1,512,800	1,556,700	1,789,800
INSTITUTIONAL SERVICES FUNDS	15,759,000	17,515,000	20,176,000	22,458,000	23,356,000	25,050,000	25,668,900	27,238,600	27,495,500	29,116,500
STATE FUNDS	6,876,000	5,926,000	7,810,000	7,840,000	8,891,000	9,004,000	9,185,000	8,436,800	8,514,600	9,825,600
General Funds	2,863,000	363,000	1,983,000	482,000	1,611,000	863,000	405,700	50,600	42,200	995,000
Other State Funds	4,013,000	5,563,000	5,827,000	7,358,000	7,280,000	8,141,000	8,779,300	8,386,200	8,472,400	8,830,600
FEDERAL FUNDS	8,883,000	11,589,000	12,366,000	14,618,000	14,465,000	16,046,000	16,483,900	18,801,800	18,980,900	19,290,900
Federal ICF/MR	8,732,000	11,254,000	11,787,000	13,876,000	13,729,000	15,275,000	15,600,300	18,086,100	18,242,900	18,626,600
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	151,000	335,000	579,000	742,000	736,000	771,000	883,600	715,700	738,000	664,300
COMMUNITY WITH FEDERAL INCOME MAINT	32,877,000	37,048,000	44,119,000	52,231,000	64,432,000	73,987,000	84,166,500	91,713,200	103,243,100	113,432,400
COMMUNITY SERVICES FUNDS	4,583,000	5,949,000	9,716,000	12,328,000	15,059,000	18,274,000	23,490,500	24,384,200	29,787,100	33,908,400
STATE FUNDS	2,193,000	2,656,000	4,109,000	5,206,000	6,958,000	8,862,000	11,787,200	11,435,900	16,528,500	18,192,100
General Funds	979,000	1,324,000	2,636,000	3,712,000	5,478,000	7,392,000	10,342,200	10,022,900	15,033,500	16,853,100
SSI State Supplement	1,214,000	1,332,000	1,473,000	1,494,000	1,480,000	1,470,000	1,445,000	1,413,000	1,495,000	1,339,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	2,390,000	3,293,000	5,607,000	7,122,000	8,101,000	9,412,000	11,703,300	12,948,300	13,258,600	15,716,300
ICF/MR Funds	0	945,000	3,083,000	4,551,000	5,355,000	6,486,000	5,880,600	6,439,900	6,828,500	7,221,500
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	0	945,000	3,083,000	4,551,000	5,355,000	6,486,000	5,880,600	6,439,900	6,828,500	7,221,500
Other Title XIX Funds	0	0	0	0	0	0	0	511,300	5,611,400	7,369,300
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	511,300	5,611,400	7,369,300
Title XX / SSBG Funds	1,800,000	1,830,000	1,860,000	1,890,000	1,940,000	2,115,000	5,000,000	5,200,000	0	0
Other Federal Funds	590,000	518,000	664,000	681,000	806,000	811,000	822,700	797,100	818,700	1,125,500
FEDERAL INCOME MAINTENANCE	28,294,000	31,099,000	34,403,000	39,903,000	49,373,000	55,713,000	60,676,000	67,329,000	73,456,000	79,524,000
Suppl. Security Income (SSI)	20,611,000	22,561,000	24,448,000	28,080,000	34,526,000	39,190,000	42,836,000	48,890,000	53,879,000	57,988,000
Childhood Disability (SSDI)	7,683,000	8,538,000	9,955,000	11,823,000	14,847,000	16,523,000	17,840,000	18,439,000	19,577,000	21,536,000
F.F.P. Rate	71.37%	70.13%	69.71%	68.48%	68.07%	67.98%	67.95%	70.03%	70.72%	70.23%
Daily Institutional Population	839	895	896	908	903	860	789	743	747	745
Institutional Per Diem	51.46	53.62	61.69	67.58	70.86	79.80	89.13	100.16	100.84	107.08

LOUISIANA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services in the State of Louisiana are delivered through the Office of Mental Retardation and Developmental Disabilities (OMR/DD), which is within the Cabinet-level Department of Human Resources. There are nine state schools (redesignated Developmental Centers in FY 1985).

Budget Format. The published executive budgets of the OMR/DD presented expenditures in the following format:

Office of MR/DD

- Administration
  - State General (Direct)
  - Interagency Transfers
  - Federal Funds
  - Fees and S G Revenue
  - Excess (Deficit) Financing
  - Capital Outlay
- State School Budget (nine facilities budgeted separately
  - State General (Direct)
  - Interagency Transfers
  - Fees and S G Revenue

In the above format, "Interagency Transfer" referred to Federal share for Title XIX funds.

Note on Data Sources. Institutional services expenditures were determined by summing the individual totals of Louisiana's nine state MR institutions: Metropolitan (formerly Belle Chase), Columbia, Hammond, Leesville, Northwest, Pinecrest, Ruston, Southwest and Thibodaux Developmental Centers. Then, community services activities funded out of the institutional budgets were subtracted. Average daily population figures for FY 1977 and FY 1978 were obtained from the Executive Budget; FY 1979-84 figures were obtained from Margarite Thompson, OMRDD Administration Office (p.c., telephone, 7/19/84). Expenditure figures for FY 1985 (actual) and for FY 1986 (appropriation) were obtained from Linda Brassette, Executive Officer, Office of Mental Retardation/Developmental Disabilities, Department of Health and Human Resources (p.c., correspondence, March 27, 1986). The FY 1986 figures were presented on a worksheet summarizing total expenditures and selected line items for the nine state schools (developmental centers).

Similar figures for FY 1985 were available on budget sheets (form BR-8) for each individual facility. Our project recapitulated the FY 1985 and FY 1986 facility figures, and summarized the selected line items which were identified as community services. The manner in which these expenditures were deducted from institutional services, and then included with our analysis category of community services is detailed below.

The budget sheets and the worksheet broke out fund sources as follows (description in parenthesis is our analysis categorization): state (General Fund); Title XIX (ICF/MR Federal and state shares); other Federal (Other Federal); Special Milk (Other Federal); and, self-generating, which was primarily revenue from employees' meals (Other State Funds). We utilized the Louisiana Federal Financial Participation (FFP) rates for each year to determine the amount of Federal and state shares in the ICF/MR program--the State Share was included in the analysis category "Other State Funds."

Federal/state ICF/MR figures for institutional services were also provided by Maxine Hanks, Office of Family Security, (p.c., telephone, 3/1/86). The Federal share amounts she provided were $55,234.7 thousand (FY 1985) and $58,823.0 thousand (FY 1986). These figures were consistent with figures provided by OMR/DD; we utilized the OMR/DD appropriation figure for FY 1986.

Community services: As noted above, recapitulation was necessary in order to break out community services spending from the institutions' budgets. For example, in FY 1986, the total OMRDD appropriation for the nine facilities and selected community services items (Gary W., Developmental Disabilities, PL 89-313, Louisiana Special Olympics) totalled $121,082.8 thousand. Of this total, $27,277.9 thousand was designated for community services operations in Regional offices, day programs or in group homes (and the Other Federal Funds categories re-assigned from the Central Office--"OMR/Admin").

In addition, L. Brassette (p.c., telephone, 4/21/86) identified other specific community services activities not described on the FY 1986 appropriation worksheet, or on the BR-8 budget forms. Additional expenditures which were re-assigned from institutional services to community services included (all $s in thousands):

Regional Staff: $400.0 thousand in General Fund transferred, FY 1985 & FY 1986

State-operated Group Homes: $813.9 in FY 1985 and $762.5 in Federal/State ICF/MR funds--calculated based on six 6-bed homes, @ an average per diem rate of $61.94 in FY 1985; $58.03 in FY 1986

Voluntary Placements: $381.0 in FY 1985 and in FY 1986 in General Fund to cover the cost of clients placed in Private ICFs/MR, but not eligible for the ICF/MR funding

Commuter Program at Southwest Developmental Center: $1,884.9 in FY 1985 and in FY 1986 for day services provided at this center for community-based clients

In addition to these funds which were re-assigned from institutional services budgets, $2,732.8 thousand in FY 1985 and in FY 1986 in General Fund was added to community services, representing the cost of contract day services budgeted at the Northwest Developmental Center.

II. INSTITUTIONAL SERVICES FUNDS

As noted above, institutional services consisted of expenditures for the nine developmental centers, exclusive of the identified spending associated with community services.

State General Fund. The item entitled "Fees-SG Revenue" in the budget was considered part of State General Fund expenditures.

Other State Funds. This category in our analysis included the state ICF/MR matching share transferred from the Medical Services Program elsewhere in Louisiana's Department of Health and Human Resources. A minor line item termed "Excess Financing (Deficit)" was not included in the analysis.

III. COMMUNITY SERVICES FUNDS

Community services consisted of three components: (1) monies budgeted as part of the budget category entitled "Administration," most of which was actually purchase-of-care community contract funding; (2) developmental center funding for residential and day services sponsored by the MR institutions in the surrounding communities; and (3) private ICFs/MR. Community services budget figures in developmental centers' budget lines and in the "Administration" budget category were taken from Agency records and were obtained from L. Brassette, Executive Officer, Office of Mental Retardation and DD, Louisiana Department of Health and Human Resources (p.c., telephone, 9/30/83 and 4/21/86; correspondence, 3/27/86).

Other State Funds. For FYs 1977-82, Title XX funds were used to finance community services and the figure contained in the Other State Funds category during this period was the state match (25%). In FY 1983, Title XX MR funding was terminated and community services funding was converted to Title XIX.

Private ICF/MR data were estimated and were obtained from the following sources/methods. Fiscal Years 1977-80 data on total ICF/MR funding in Louisiana was obtained from the Federal Health Care Financing Administration (HCFA) and verified through contact with the Louisiana Department of Public Welfare, Office of Family Security (p.c., telephone, Pam Kirkman, 10/5/83). The portion of ICF/MR funds allocated to state-run developmental centers was subtracted from the HCFA totals, leaving the private ICF/MR net balance. Then, the Medicaid matching rate percentages supplied by HCFA for the FY 1977-80 period were applied, to determine the composite Federal/state funding shares. Data for FYs 1981-82 were obtained from the Office of Family Security, Department of Public Welfare (p.c., telephone, Pam Kirkman, 10/3/83, 10/5/83) and, as for FYs 1977-80, we netted out the state-operated institutional share, to determine the private ICF/MR figures.

Revised FYs 1982-84, and FYs 1985-86 expenditures for the private ICF/MR program were identified by the Office of Family Security (p.c., telephone, Don Futrell; Maxine Hanks, 3/1/86). The designations of ICF/MR Small (15 Beds or Less) and ICF/MR Large (16 Beds or more) expenditures were determined from a FY 1986 breakdown provided by the Office of Family Security (p.c., 3/1/86). That summary by bed size is provided in the table below:

LOUISIANA PRIVATE ICFs/MR, BY BED SIZE CATEGORIES
(Expenditures in Thousands of Dollars)

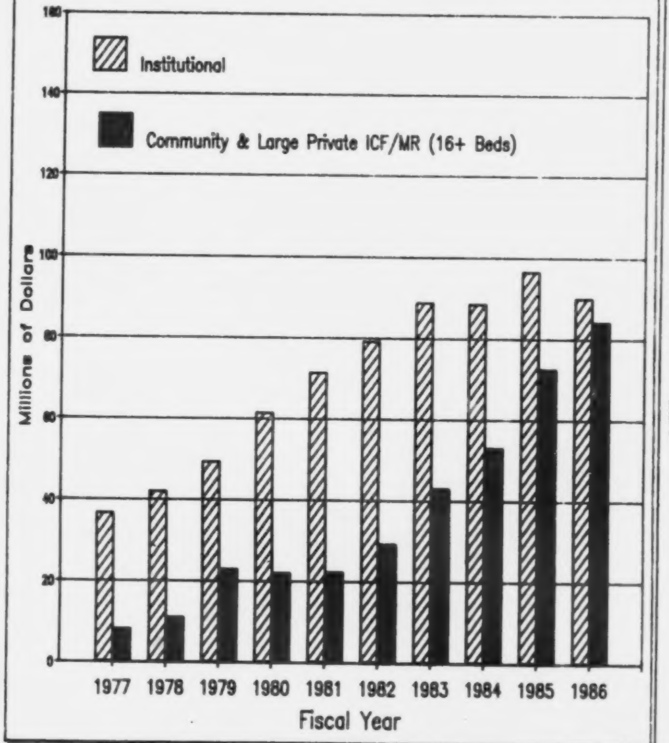
Bed Size	# Facilities	Average Res.	Weighted Per Diem	Est. Expend.
4-6 beds	107	5.5	$77.41	$16,731.4
7-15 beds	9	9.4	47.57	1,408.8
16-85 beds	8	44.9	73.91	9,679.8
86 + beds	8	146.0	61.02	26,019.9

Expenditure estimates for Private ICFs/MR calculated in this fashion totaled $53,839.9 thousand, approximating the figure of $51,095.5 thousand which was indicated by the Office of Family Security to be the FY 1986 private ICF/MR expenditure level. Therefore, to designate Private ICF/MR Small (15 Beds or Less) expenditures for FY 1986, we utilized the percentage which 4-6 bed and 7-15 bed facilities constituted of the total expenditures in the table above (33.7%). Information from OMR/DD had indicated that reimbursements of small ICFs/MR were initiated in FY 1983, so we estimated expenditures at $2.0 million, and projected an incremental growth to the FY 1986 expenditure level.

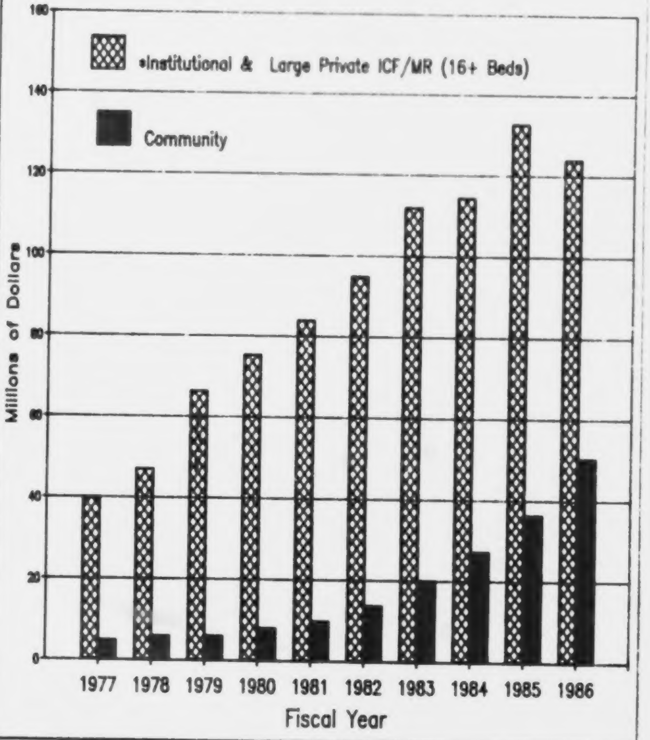
Waiver. Federal reimbursements under the Waiver were provided (p.c., OFS/DPW, 3/1/86) for FY 1983 and FY 1984 (revisions of previous analysis figures) and for FY 1985 (the Waiver terminated on January 1, 1985).

LOUISIANA

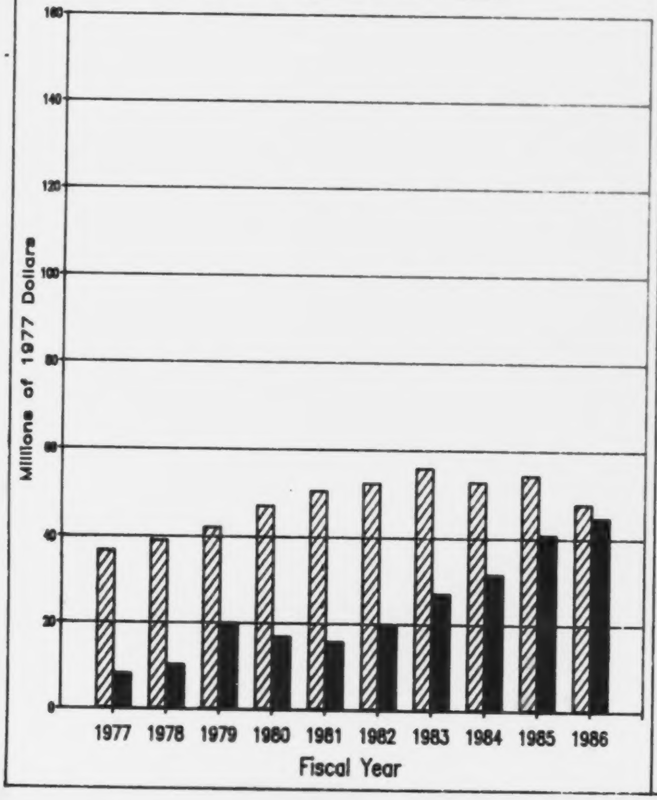
MR/DD Expenditures
for *Institutional* & *Community* Services



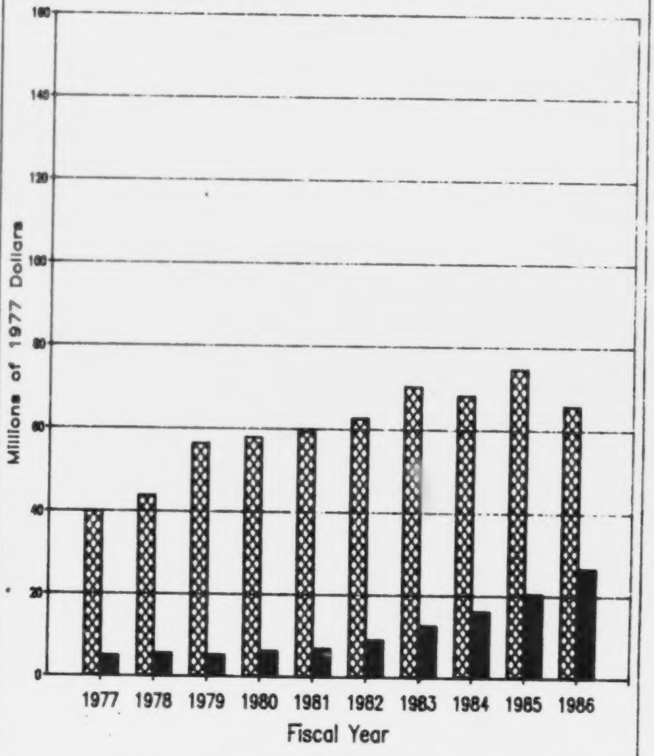
MR/DD Expenditures for Large Congregate*
& Community Services



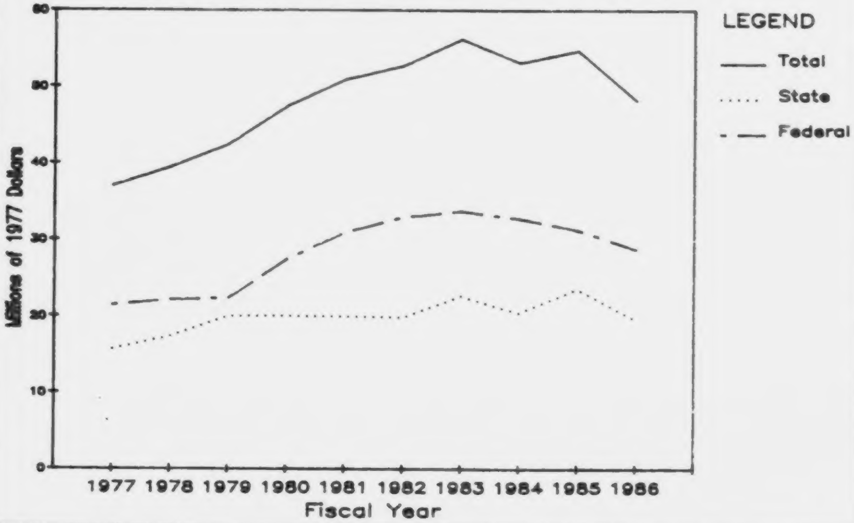
Adjusted for Inflation



Adjusted for Inflation

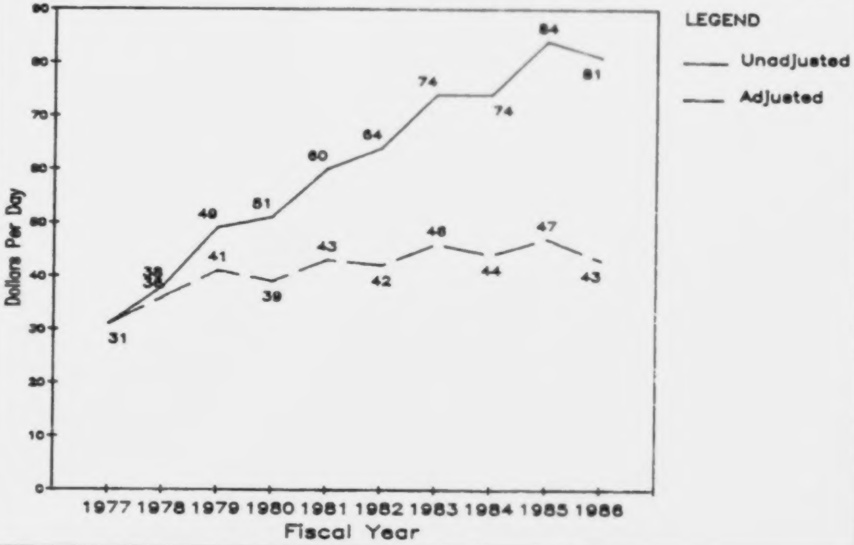


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



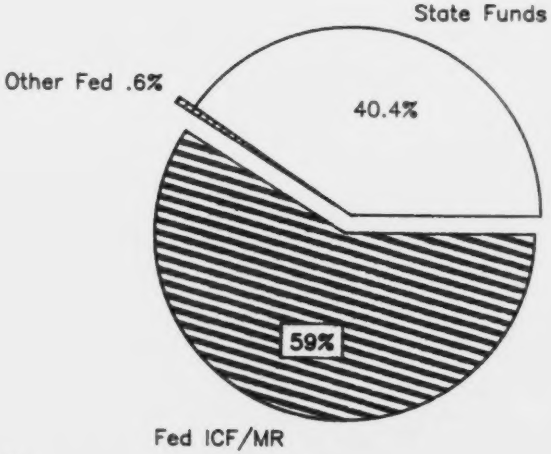
LOUISIANA

Institutional **Spending in Real Economic Terms By Level of Government: FY 1977–86**



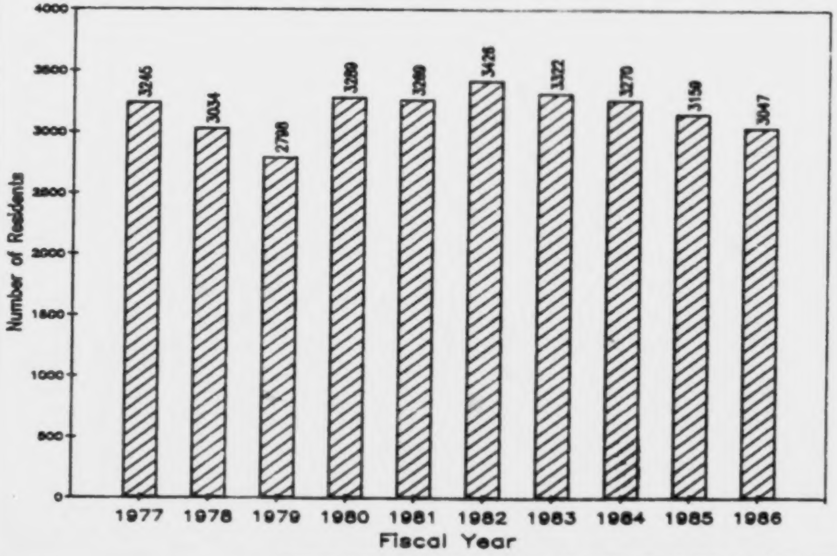
LOUISIANA

Institutional Per Diem Costs: FY 1977–86



Institutional **Revenue Detail: FY 1986 (Unadjusted)**

FY 1986 Total Funds: $90.4 Million

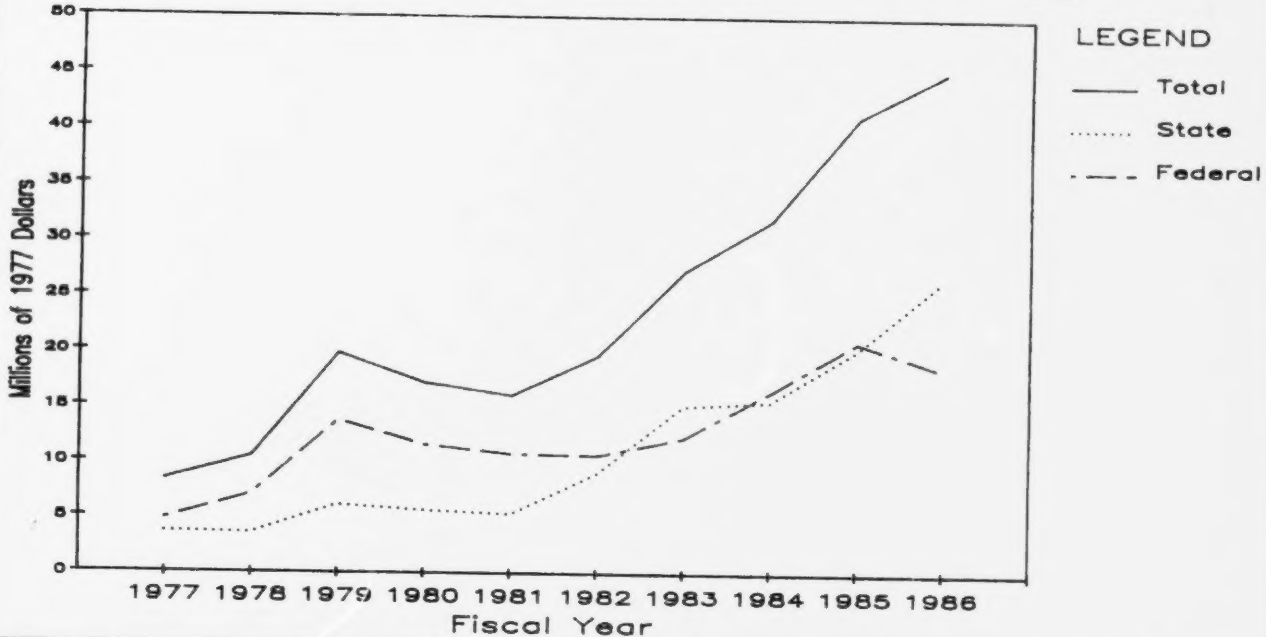


Average Daily Residents in Institutions

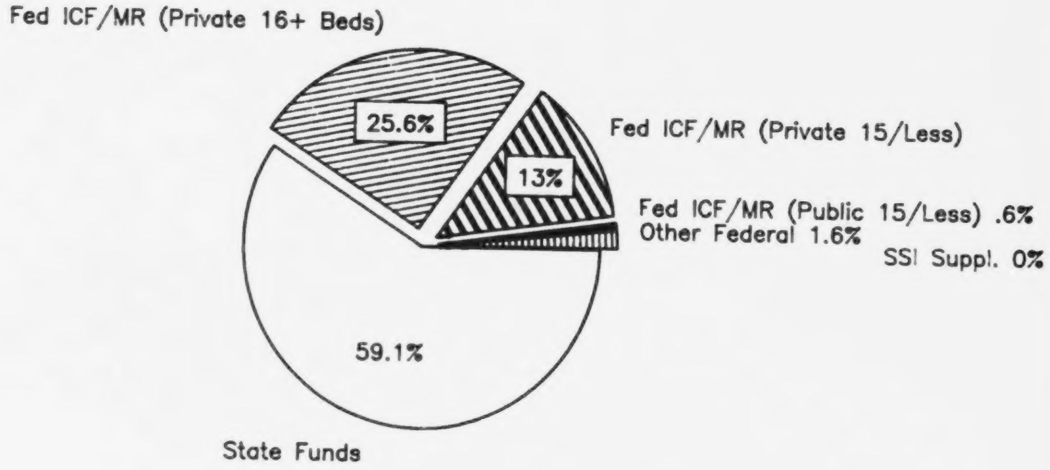
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

LOUISIANA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

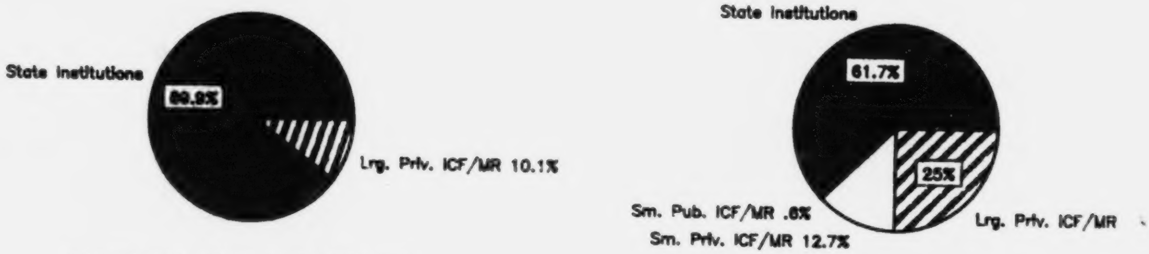


FY 1986 Total Funds: $84.5 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

LOUISIANA

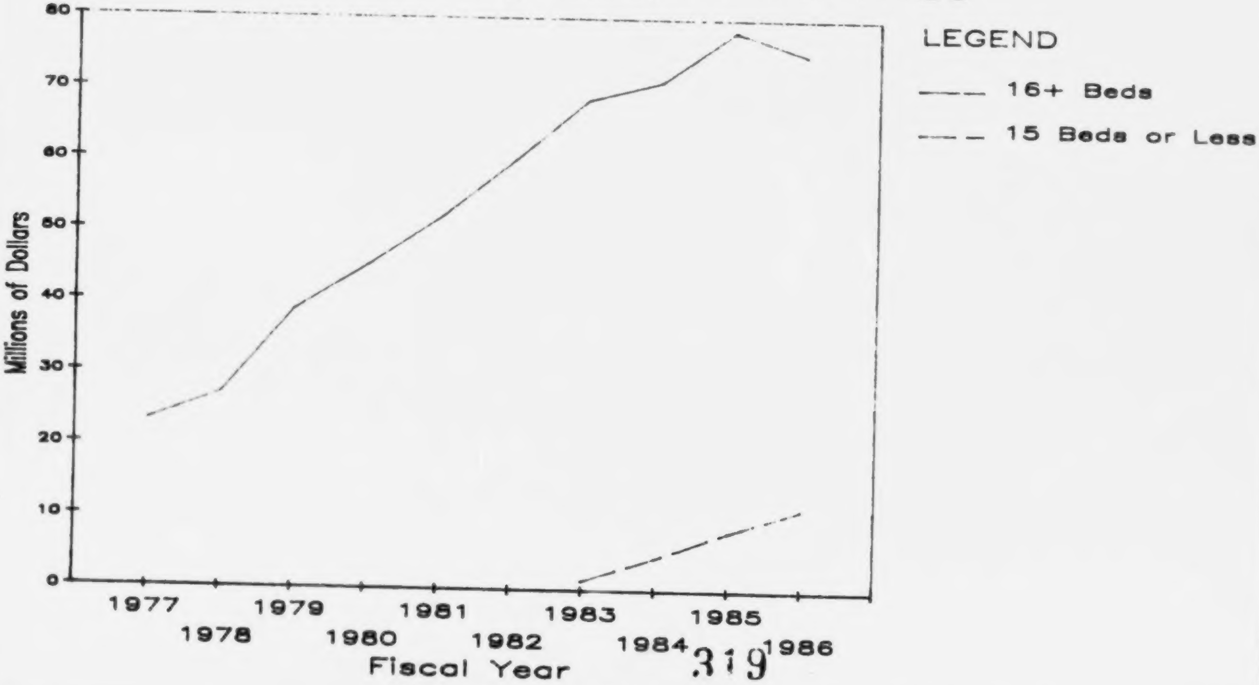
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $23.3 Million

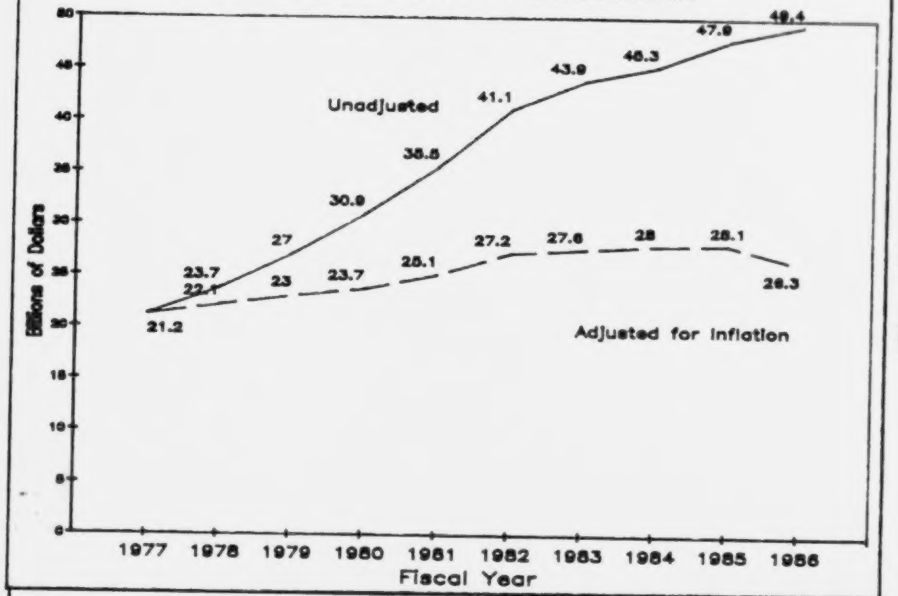
FY 1986 Total Federal Funds: $86.5 Million

By Facility Size, FY 1977–86

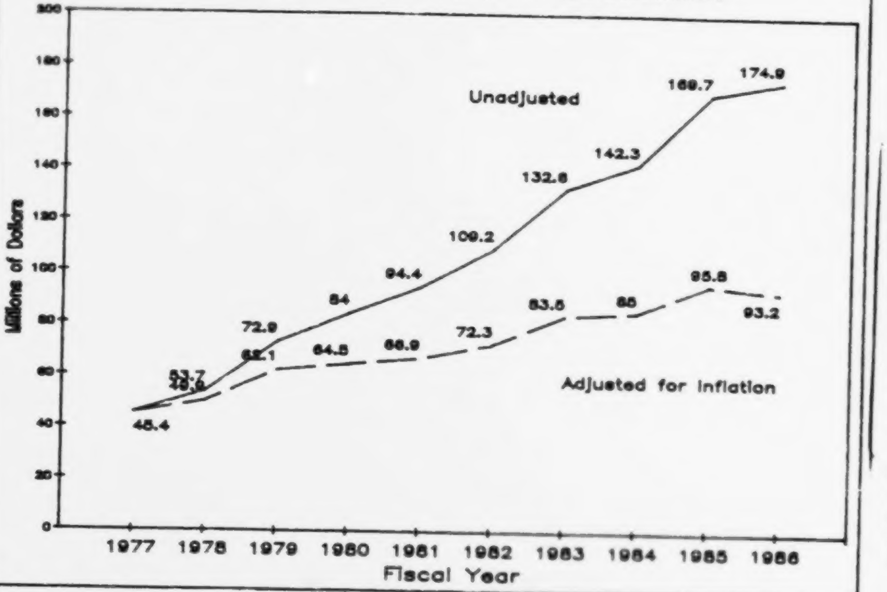


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

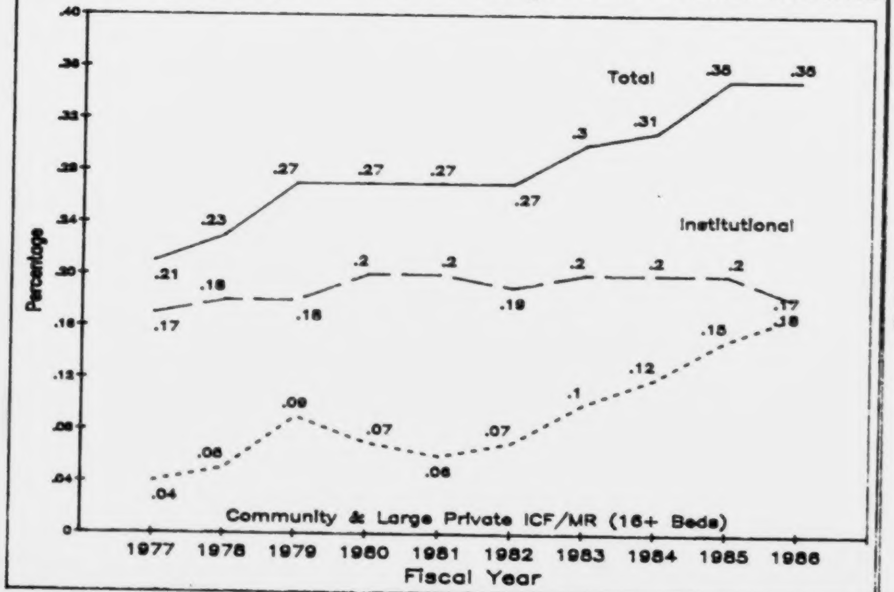
Personal Income in **LOUISIANA**



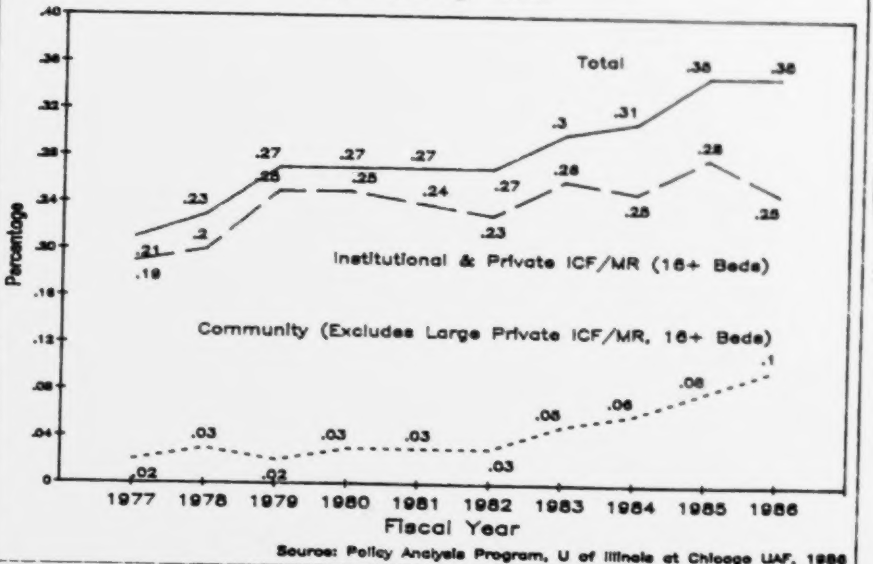
Total MR/DD Spending in **LOUISIANA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

LOUISIANA 4/30/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	94,730,000	108,628,000	133,336,000	152,053,000	176,812,000	199,893,800	227,718,100	245,680,400	280,952,100	294,806,100
TOTAL INSTITUTIONAL/COMMUNITY	45,348,000	53,651,000	72,899,000	84,014,000	94,426,000	109,235,800	132,632,100	142,271,400	169,692,100	174,911,100
STATE FUNDS	19,219,000	22,404,000	30,608,000	33,360,000	35,635,000	43,513,100	59,856,500	60,098,100	77,374,400	86,518,000
General Funds	10,543,000	11,456,000	18,345,000	15,742,000	14,050,000	13,167,000	23,368,800	14,368,200	26,865,200	37,671,300
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	8,676,000	10,948,000	12,263,000	17,618,000	21,585,000	30,346,100	36,487,700	45,729,900	50,509,200	48,846,700
FEDERAL FUNDS	26,129,000	31,247,000	42,291,000	50,654,000	58,791,000	65,722,700	72,775,600	82,173,300	92,317,700	88,393,100
Title XIX Funds	23,332,000	27,101,000	37,902,000	45,172,000	52,044,000	60,018,700	71,522,600	80,944,300	91,384,200	86,508,800
Title XX / SSBG Funds	2,049,000	3,245,000	3,498,000	4,610,000	5,518,000	4,611,000	0	0	0	0
Other Federal Funds	748,000	901,000	891,000	872,000	1,229,000	1,093,000	1,253,000	1,229,000	933,500	1,884,300
INSTITUTIONAL SERVICES FUNDS	36,992,000	42,389,000	49,708,000	61,754,000	71,828,000	79,649,000	89,244,000	88,903,000	96,849,700	90,376,500
STATE FUNDS	15,641,000	18,657,000	23,501,000	26,059,000	28,160,000	29,889,000	35,814,000	34,119,000	41,523,400	36,524,500
General Funds	7,648,000	8,790,000	12,591,000	9,977,000	8,414,000	5,330,000	9,435,000	2,948,000	11,052,600	6,362,200
Other State Funds	7,993,000	9,867,000	10,910,000	16,082,000	19,746,000	24,559,000	26,379,000	31,171,000	30,470,800	30,162,300
FEDERAL FUNDS	21,351,000	23,732,000	26,207,000	35,695,000	43,668,000	49,760,000	53,430,000	54,784,000	55,326,300	53,852,000
Federal ICF/MR	20,977,000	23,523,000	26,010,000	35,498,000	43,434,000	49,527,000	53,196,000	54,550,000	55,055,300	53,335,200
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	374,000	209,000	197,000	197,000	234,000	233,000	234,000	234,000	271,000	516,800
COMMUNITY WITH FEDERAL INCOME MAINT	57,738,000	66,239,000	83,628,000	90,299,000	104,984,000	120,244,800	138,474,100	156,777,400	184,102,400	204,429,600
COMMUNITY SERVICES FUNDS	8,356,000	11,262,000	23,191,000	22,260,000	22,598,000	29,586,800	43,388,100	53,368,400	72,842,400	84,534,600
STATE FUNDS	3,578,000	3,747,000	7,107,000	7,301,000	7,475,000	13,624,100	24,042,500	25,979,100	35,851,000	49,993,500
General Funds	2,895,000	2,666,000	5,754,000	5,765,000	5,636,000	7,837,000	13,933,800	11,420,200	15,812,600	31,309,100
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	683,000	1,081,000	1,353,000	1,536,000	1,839,000	5,787,100	10,108,700	14,558,900	20,038,400	18,684,400
FEDERAL FUNDS	4,778,000	7,515,000	16,084,000	14,959,000	15,123,000	15,962,700	19,345,600	27,389,300	36,991,400	34,541,100
ICF/MR Funds	2,355,000	3,578,000	11,892,000	9,674,000	8,610,000	10,491,700	16,752,600	21,237,800	31,595,600	33,173,600
Small Public	0	0	0	0	0	0	0	0	524,600	487,800
Small Private	0	0	0	0	0	0	1,337,000	4,563,000	7,789,000	11,015,100
Large Private	2,355,000	3,578,000	11,892,000	9,674,000	8,610,000	10,491,700	15,415,600	16,674,800	23,282,000	21,670,700
Other Title XIX Funds	0	0	0	0	0	0	1,574,000	5,156,500	4,733,300	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	1,574,000	5,156,500	4,733,300	0
Title XX / SSBG Funds	2,049,000	3,245,000	3,498,000	4,610,000	5,518,000	4,611,000	0	0	0	0
Other Federal Funds	374,000	692,000	694,000	675,000	995,000	860,000	1,019,000	995,000	662,500	1,367,500
FEDERAL INCOME MAINTENANCE	49,382,000	54,977,000	60,437,000	68,039,000	82,386,000	90,658,000	95,086,000	103,409,000	111,260,000	119,895,000
Suppl. Security Income (SSI)	36,657,000	40,836,000	43,947,000	48,457,000	57,794,000	63,290,000	65,536,000	72,868,000	78,752,000	84,225,000
Childhood Disability (SSDI)	12,725,000	14,141,000	16,490,000	19,582,000	24,592,000	27,368,000	29,550,000	30,541,000	32,508,000	35,670,000
F.F.P. Rate	72.41%	70.94%	70.45%	69.23%	68.82%	67.34%	66.85%	64.45%	64.45%	63.97%
Daily Institutional Population	3,245	3,034	2,798	3,289	3,269	3,426	3,322	3,270	3,159	3,047
Institutional Per Diem	31.23	38.28	48.67	51.30	60.20	63.69	73.60	74.28	84.00	81.26

MAINE

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The Maine Bureau of Mental Retardation is within the Department of Mental Health and Mental Retardation. Under the Bureau were three state institutions: Pineland, Aroostook, and Elizabeth Levinson Centers, and the Community MR Program. The MH/MR Department was created in FY 1982. Prior to that time, MR services were under the Department of MH and Corrections. Administration and institutional food, fuel and unemployment compensation costs were centralized at the Departmental (rather than the Bureau) level.

Budget Format. The Maine executive budget presented MR budget data in the following format:

- Department of Mental Health and Mental Retardation
  - Pineland Center (same format for Aroostook and Levinson)
    - General Fund
    - Other Special Revenue Fund
    - Federal Expenditure Fund
  - Bureau of Mental Retardation
    - MR Services - Community
    - General Fund
    - Other Special Fund Revenue
    - Federal Expenditure Fund
    - Federal Block Grant Fund

Note on Data Sources. Actual expenditures, with funding sources, were obtained from the 1980-81, 1982-83, 1984-85, and 1986-87 State of Maine Budget documents. Clarifications were provided by Bob Bernier, Director of DMH/MR Accounting and Audits. The FYs 1977-83 aggregated average daily census data for the three institutions (Pineland, Levinson, and Aroostook) was obtained from Bob Jones, Resource Development Manager, DMH/MR (p.c., telephone, 6/20/84). FYs 1984-86 census figures were provided by the medical records personnel at each of the state facilties (p.c., telephone, 5/19/86).

II. INSTITUTIONAL SERVICES FUNDS

Maine has a centralized account for purchase of food and fuel for all state institutions and for unemployment compensation. The Director of DMH/MR Accounting and Audits, Bob Bernier, had embedded that portion of the account allocated to the three MR institutions for FYs 1977-83 in his general fund estimates (p.c., correspondence, 9/26/83). In FYs 1984-86, the MR portion was extrapolated from the total food and fuel account by applying the percentage of MR persons served in all DMH/MR facilities to the total food and fuel expenses.

The published executive budget included the expenditures for two state run ICF/MR community-based homes (six beds each), which were budgeted in the Pineland Center budget, but physically located in the community. The homes were opened in 1981. Since the homes were community-based services, these funds were subtracted from institutional services expenditures and defined as community services expenditures.

State General Funds included the MR portion of the centrally purchased institutional food and fuel account. In our analysis, State General Funds did not include major capital construction costs (entitled "capital expenditures" in the operating budget document).

The gross amounts (federal and state share combined) of ICF/MR funds were provided by Bob Bernier (p.c., correspondence, 9/26/83 and 10/3/83) and John Wakefield, Deputy Commissioner, Department of Human Services (p.c., correspondence, 2/25/86). Federal-share ICF/MR funds were deducted from the general fund line based on the matching ratios for FYs 1977-86.

Other State Funds included private pay revenue (p.c., correspondence, Bob Bernier, 9/26/83). Also included in this line was an item labeled "Other Special Revenue" in the budget documents. This revenue consisted of canteen proceeds, cafeteria fees, etc., according to the Bureau of MR Director (p.c., telephone, 8/16/83). The FYs 1984-86 figures were estimates provided by Bernier (p.c., telephone, 5/19/86).

Federal ICF/MR Funds. Pineland and Levinson Centers received ICF/MR reimbursement throughout FYs 1977-86. Aroostook Center began receiving ICF/MR funds in FY 1984.

Other Federal Funds included Medicare revenues (p.c., correspondence, Bob Bernier, 9/26/83; telephone, 5/19/86), and an item labeled "Federal Expenditure Fund" in the budget, which included smaller federal programs (e.g., Title I).

III. COMMUNITY SERVICES FUNDS

Community Services expenditures included the six regional offices which oversee adult day activities, pre-school services, and community residential services. These figures excluded capital construction costs, but included fixed equipment costs.

State General Funds included general fund revenues for the MR Community Services Program, and the state match for Waiver and Title XIX Day programs. In FYs 1982-86, some central state administrative costs were included in community budget lines. The following sums for administration were subtracted from State General Funds for Community Services ($'s in thousands):

Fiscal Year	Total
1982	$ 464
1983	369
1984	324
1985	331
1986	362

Other State Funds were primarily state and local matching dollars for Title XX/SSBG (see Title XX/SSBG below) and Title XIX ICF/MR funds.

Small Public ICF/MR. There were two state-run community-based ICFs/MR which were transferred from the Pineland budget to the Community Services section of this analysis. The facility, called Freeport Towne Square, consisted of two homes, six beds each, separated by a driveway. Per-diem rates were used to calculate federal share and state share expenditures.

Private ICF/MR. Total ICF/MR funding for privately-operated facilties was provided by John Wakefield (p.c., telephone, 8/25/83; correspondence, 2/25/86). State share of this funding was classified under Other State Funds since the revenues were budgeted in the Department of Human Resources. The estimate of funds expended on "Small" and "Large" facilities was based on an proportions provided by Lou Dorogi, DMHMR (p.c., telephone, 5/20/86). According to Betsy Davenport (p.c., telephone, 5/20/86), there was an extensive expansion of private ICF/MRs after FY 1983. In FY 1986 there were 40 facilities, 27 of which were the small group home type (p.c., telephone, Lou Dorogi, 5/20/86).

Title XIX Day Program funds were combined in the Maine Budget with Waiver funds in the line item, "Seed," which represented the state match for the program revenues. Betsy Davenport provided an approximate breakout of the Day Program and Waiver funding (p.c., telephone, 5/20/86).

Waiver. (see Title XIX Day Program note above).

Title XX/SSBG. The Department of Human Services rather than DMH/MR budgeted Title XX funds for MR community programs until FY 1983. Expenditures for FYs 1979-82 were provided by Sabra Burdick of DHS (p.c., telephone, 11/28/83) from the Comprehensive Annual State Plan (CASP) for Title XX. The following amounts of federal Title XX (and state and local matching dollars which were recorded in this analysis under Other State Funds) were carried in the DHS budget ($'s in thousands):

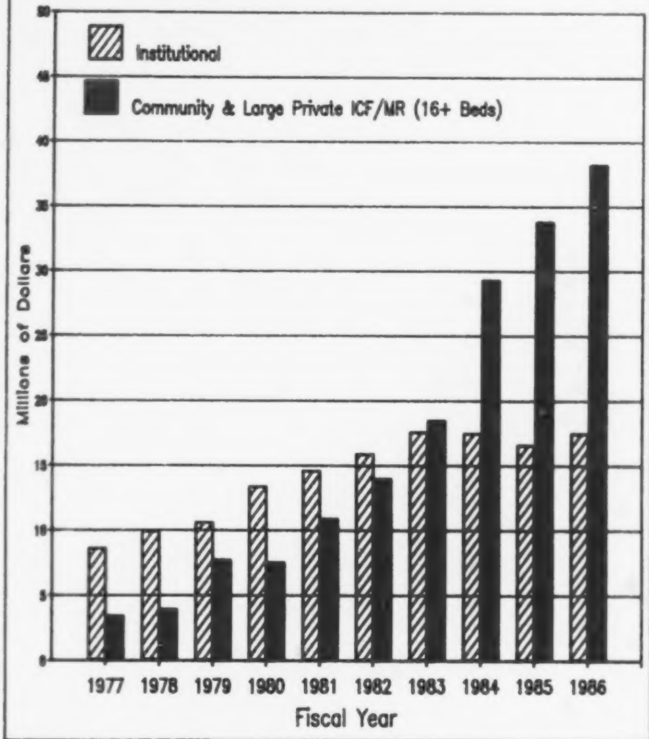
Fiscal Year	Federal	State Match	Local Match
1977	$1,450	---	$475
1978	1,479	---	493
1979	1,553	$414	517
1980	1,475	371	120
1981	1,118	492	88
1982	716	---	---

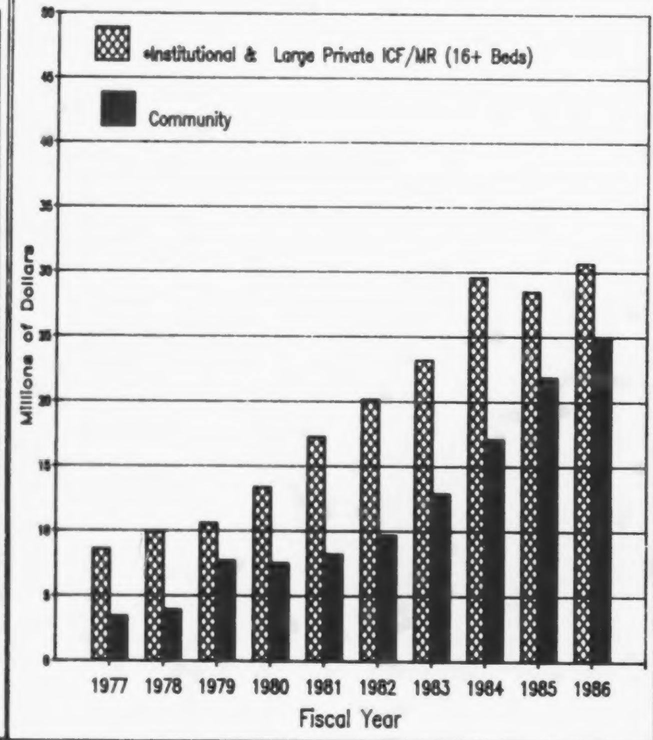
Prior to implementation of the Social Services Block grant, a local match was required for Title XX Funds. The local dollars were included in the state budget and then returned to the localities. This practice was terminated in FY 1983.

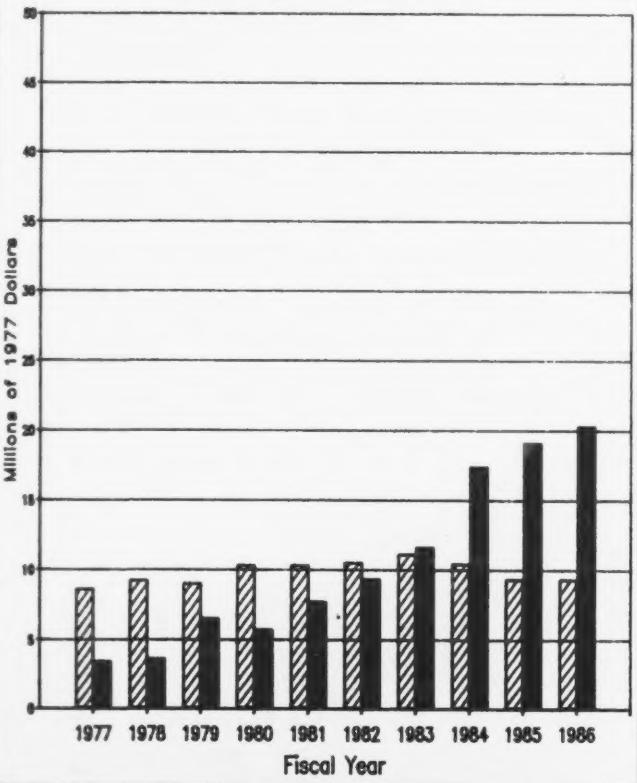
The above figures were taken from the CASP rather than from actual expenditure records. In FY 1983, Social Services Block grant funds were turned over to the Bureau of MR and appeared in its budget. Matching funds were no longer required.

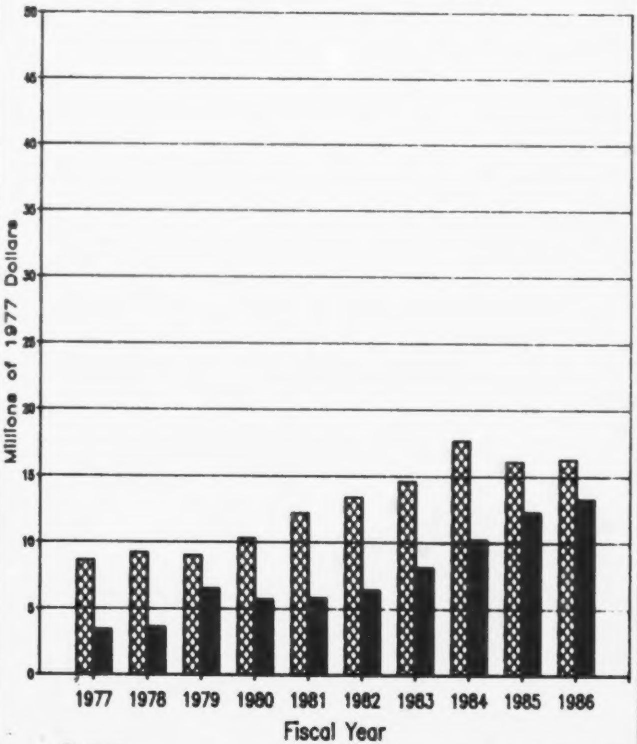
Other Federal Funds included DD Council funds. FYs 1977-83 estimates were obtained from the Federal Administration on Developmental Disabilities (p.c., correspondence, 6/18/84); FYs 1984-86 figures were obtained from the Budget.

MAINE


MR/DD Expenditures for *Institutional* & *Community* Services


MR/DD Expenditures for Large Congregate* & Community Services

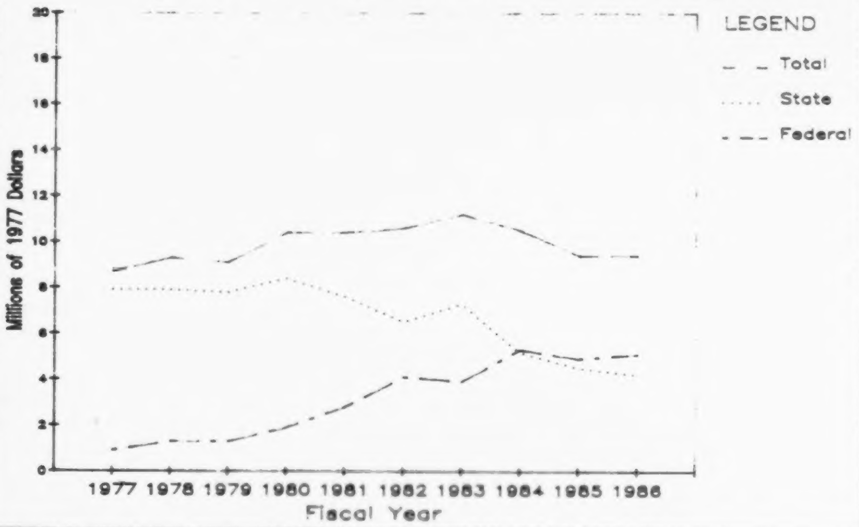

Adjusted for Inflation


Adjusted for Inflation

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

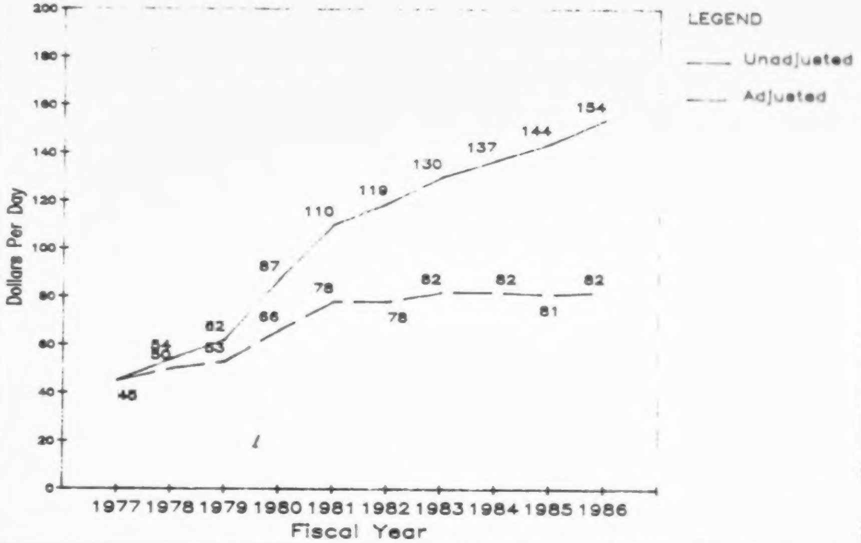
MAINE

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

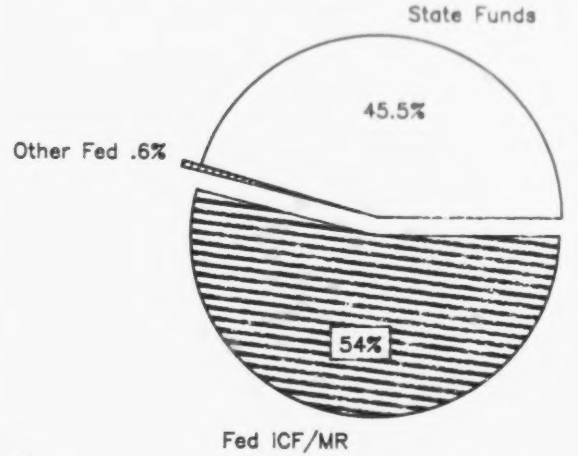


MAINE

Institutional Per Diem Costs: FY 1977–86

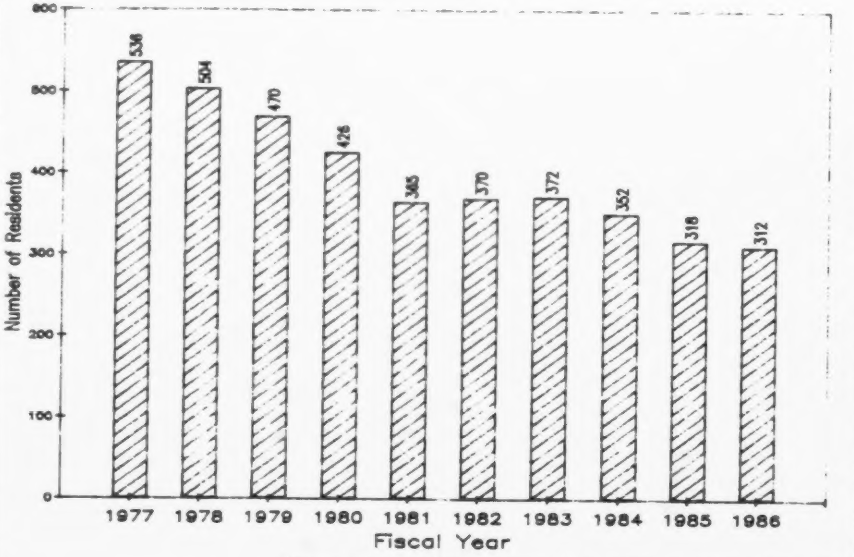


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $17.6 Million

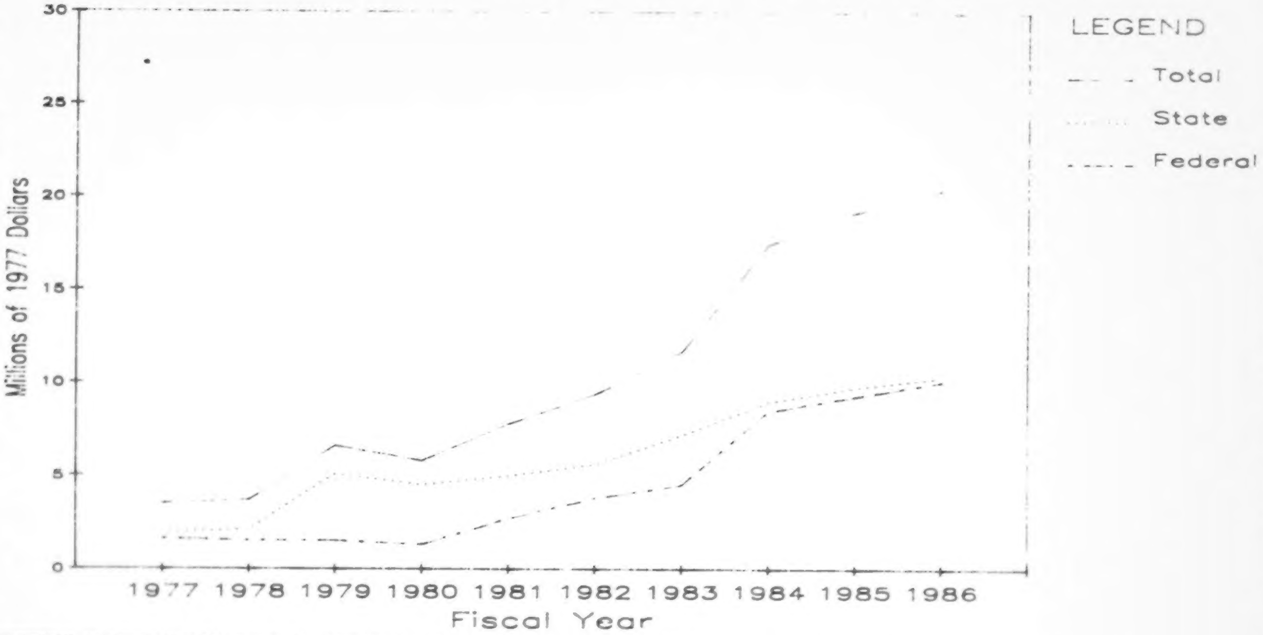
Average Daily Residents in Institutions



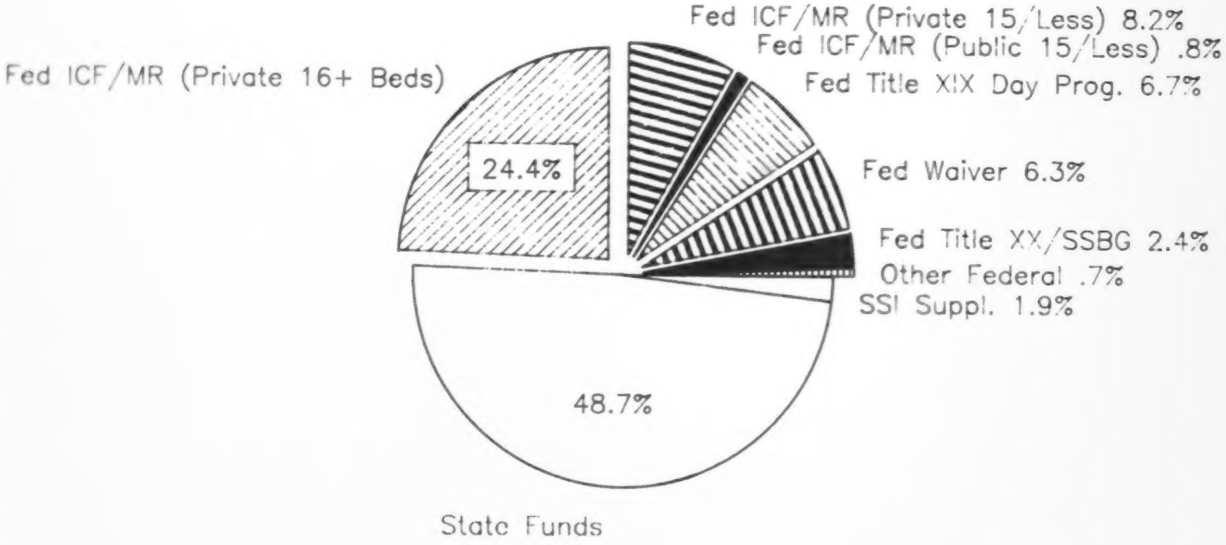
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MAINE

Community Spending Adjusted for Inflation By Level of Government: FY 1977-86



Community Revenue Detail: FY 1986 (Unadjusted)

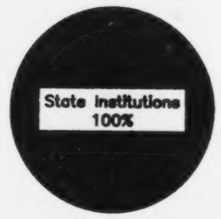


FY 1986 Total Funds: $38.3 Million

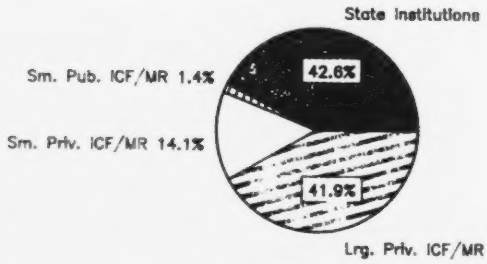
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MAINE

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

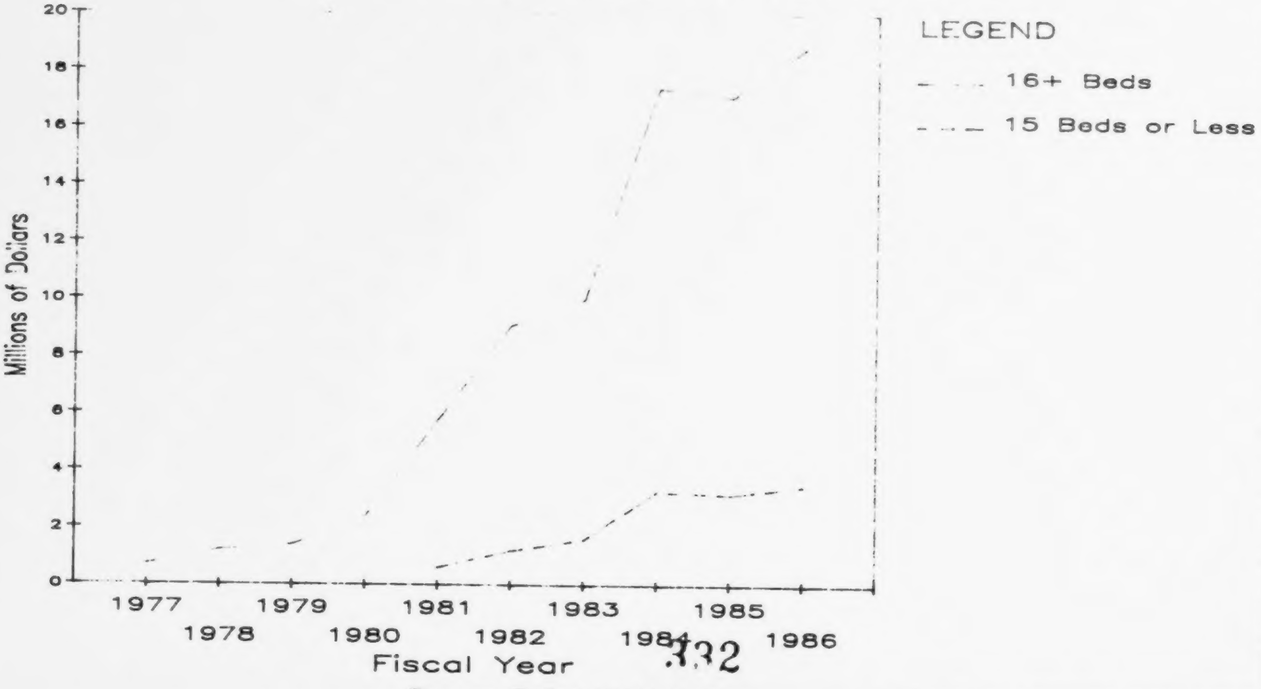


FY 1977 Total Federal Funds: $.682 Million



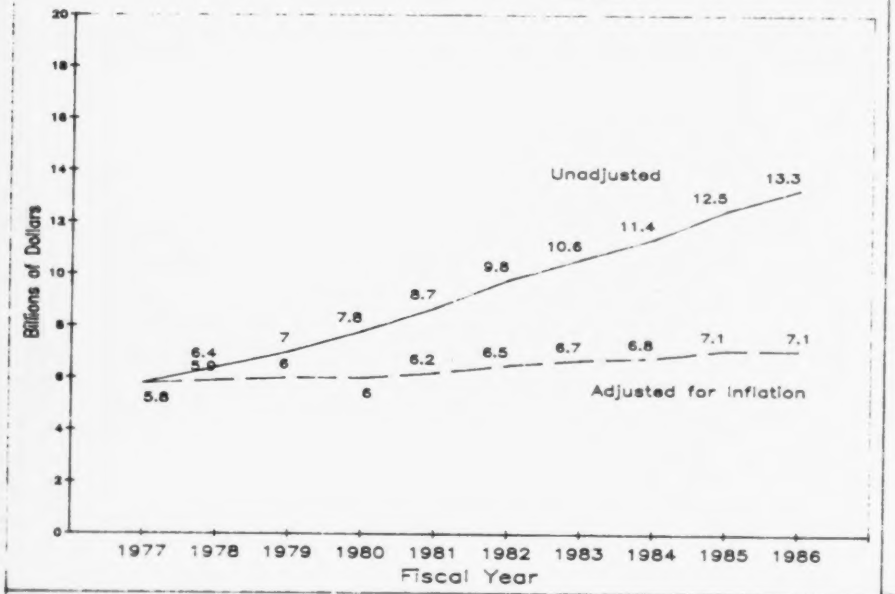
FY 1986 Total Federal Funds: $22.3 Million

By Facility Size, FY 1977--86

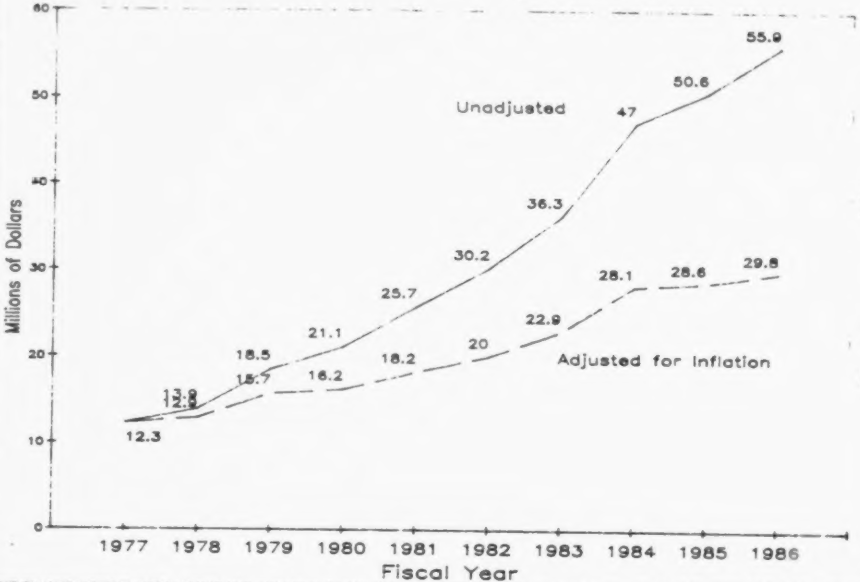


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

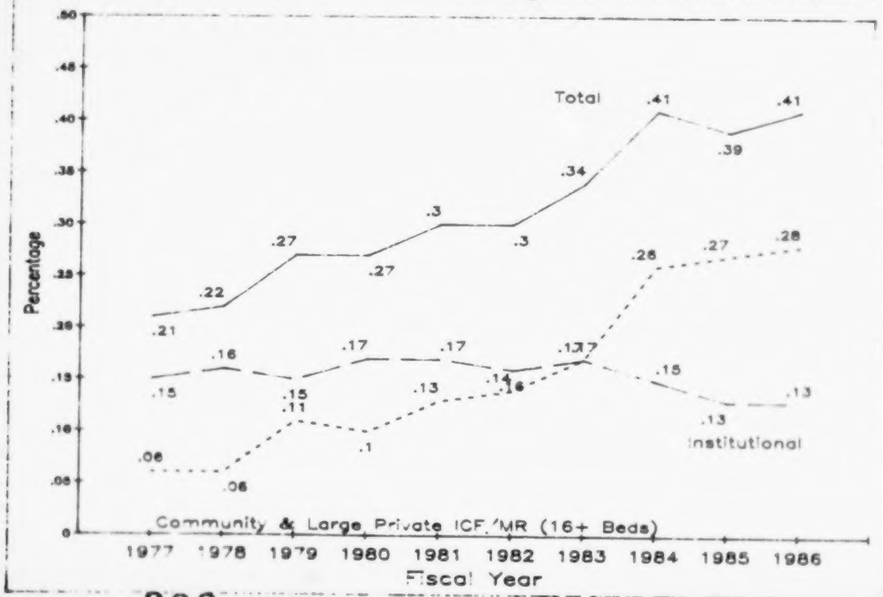
Personal Income in **MAINE**



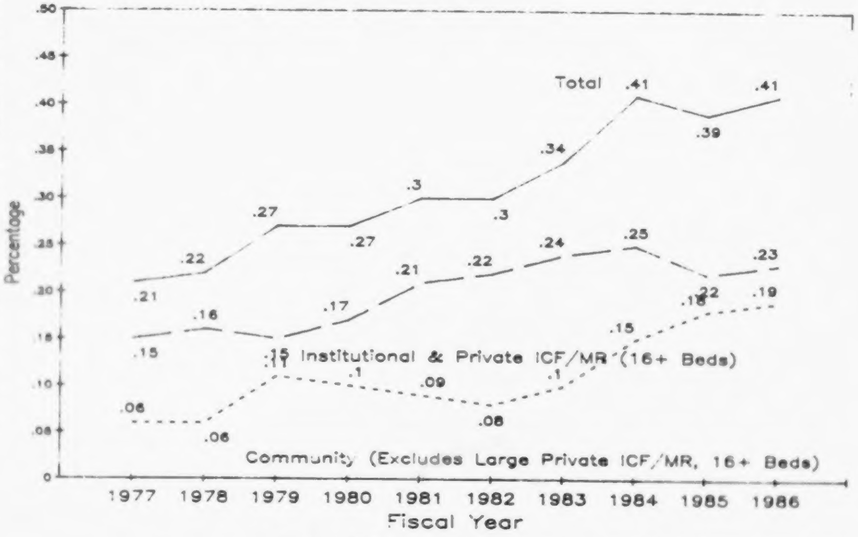
Total MR/DD Spending in **MAINE**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MAINE 9/4/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	17,551,000	19,808,000	24,992,000	28,496,000	34,723,000	40,335,092	47,274,600	59,047,800	65,008,600	70,721,488
TOTAL INSTITUTIONAL/COMMUNITY	12,251,000	13,920,000	18,465,000	21,089,000	25,651,000	30,151,092	36,278,600	46,972,800	50,614,600	55,872,488
STATE FUNDS	9,740,000	10,836,000	15,111,000	16,836,000	17,828,000	18,201,000	23,072,000	23,794,000	25,342,200	27,333,788
General Funds	8,470,000	9,438,000	13,227,000	15,383,000	15,210,000	15,353,000	19,557,000	17,599,100	19,184,000	20,718,088
SSI State Supplement	454,000	519,000	571,000	562,000	563,000	603,000	605,000	607,000	642,000	721,000
Other State Funds	816,000	879,000	1,313,000	891,000	2,055,000	2,245,000	2,910,000	5,587,900	5,516,200	5,894,700
FEDERAL FUNDS	2,511,000	3,084,000	3,354,000	4,253,000	7,823,000	11,950,092	13,206,600	23,178,800	25,272,400	28,538,700
Title XIX Funds	682,000	1,235,000	1,447,000	2,447,000	6,401,000	10,757,092	12,096,600	21,977,000	23,888,500	27,269,900
Title XX / SSBG Funds	1,450,000	1,479,000	1,553,000	1,475,000	1,118,000	716,000	770,000	859,400	1,036,900	916,900
Other Federal Funds	379,000	370,000	354,000	331,000	304,000	477,000	340,000	342,400	347,000	351,900
INSTITUTIONAL SERVICES FUNDS	8,744,000	9,969,000	10,699,000	13,492,000	14,701,000	16,013,000	17,714,000	17,610,700	16,708,200	17,557,388
STATE FUNDS	7,862,000	8,542,000	9,150,000	10,969,000	10,705,000	9,764,000	11,581,000	8,660,900	7,965,600	7,955,488
General Funds	7,521,000	8,156,000	8,768,000	10,569,000	10,309,000	9,281,000	10,969,000	8,018,300	7,290,900	7,246,988
Other State Funds	341,000	386,000	382,000	400,000	396,000	483,000	612,000	642,600	674,700	708,500
FEDERAL FUNDS	882,000	1,427,000	1,549,000	2,523,000	3,996,000	6,249,000	6,133,000	8,949,800	8,742,600	9,601,900
Federal ICF/MR	682,000	1,235,000	1,447,000	2,447,000	3,942,000	6,031,000	6,045,000	8,857,400	8,645,600	9,500,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	200,000	192,000	102,000	76,000	54,000	218,000	88,000	92,400	97,000	101,900
COMMUNITY WITH FEDERAL INCOME MAINT	8,807,000	9,839,000	14,293,000	15,004,000	20,022,000	24,322,092	29,560,600	41,437,100	48,300,400	53,164,100
COMMUNITY SERVICES FUNDS	3,507,000	3,951,000	7,766,000	7,597,000	10,950,000	14,138,092	18,564,600	29,362,100	33,906,400	38,315,100
STATE FUNDS	1,878,000	2,294,000	5,961,000	5,867,000	7,123,000	8,437,000	11,491,000	15,133,100	17,376,600	19,378,300
General Funds	949,000	1,282,000	4,459,000	4,814,000	4,901,000	6,072,000	8,588,000	9,580,800	11,893,100	13,471,100
SSI State Supplement	454,000	519,000	571,000	562,000	563,000	603,000	605,000	607,000	642,000	721,000
Other State Funds	475,000	493,000	931,000	491,000	1,659,000	1,762,000	2,298,000	4,945,300	4,841,500	5,186,200
FEDERAL FUNDS	1,629,000	1,657,000	1,805,000	1,730,000	3,827,000	5,701,092	7,073,600	14,229,000	16,529,800	18,936,800
ICF/MR Funds	0	0	0	0	2,459,000	4,236,000	5,527,000	11,892,600	11,642,900	12,791,800
Small Public	0	0	0	0	0	191,000	266,000	289,600	304,700	320,000
Small Private	0	0	0	0	614,800	1,011,300	1,315,300	3,045,800	2,910,100	3,139,400
Large Private	0	0	0	0	1,844,200	3,033,700	3,945,700	8,557,200	8,428,100	9,332,400
Other Title XIX Funds	0	0	0	0	0	490,092	524,600	1,227,000	3,600,000	4,978,100
Title XIX Day Programs	0	0	0	0	0	490,092	524,600	866,500	2,157,100	2,573,300
Waiver	0	0	0	0	0	0	0	360,500	1,442,900	2,404,800
Title XX / SSBG Funds	1,450,000	1,479,000	1,553,000	1,475,000	1,118,000	716,000	770,000	859,400	1,036,900	916,900
Other Federal Funds	179,000	178,000	252,000	255,000	250,000	259,000	252,000	250,000	250,000	250,000
FEDERAL INCOME MAINTENANCE	5,300,000	5,888,000	6,527,000	7,407,000	9,072,000	10,184,000	10,996,000	12,075,000	14,394,000	14,849,000
Suppl. Security Income (SSI)	3,368,000	3,741,000	4,024,000	4,434,000	5,339,000	6,030,000	6,510,000	7,439,000	9,046,000	9,434,000
Childhood Disability (SSDI)	1,932,000	2,147,000	2,503,000	2,973,000	3,733,000	4,154,000	4,486,000	4,636,000	5,348,000	5,415,000
F.F.P. Rate	70.60%	69.96%	69.74%	69.58%	69.53%	70.36%	70.63%	70.63%	70.63%	70.63%
Daily Institutional Population	536	504	470	426	365	370	372	352	318	312
Institutional Per Diem	44.69	54.19	62.37	86.53	110.35	118.57	130.46	136.70	143.95	154.17

MARYLAND

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The MR/DD program in Maryland is administratively located within the MR/DD Administration, an agency within the Department of Health and Mental Hygiene.

Budget Format. Maryland executive budgets presented the MR/DD Administration budget in the following manner:

- Department of Health and Mental Hygiene
  - MR/DD Administration (totals)
    - General Revenue Fund
    - Federal Fund Expenditures
      - for example:
        - MCH Grant
        - Title XX
        - DHR/Purchase of Service
        - Developmental Disabilities
        - Evaluation
        - Title XIX Waiver
        - ESEA Title I
    - Special Fund Expenditures
    - Direct Local
  - Program Direction
  - Crippled Children's Services
  - Non-retarded DD Services
  - Community Services
  - State MR Centers (each institution listed separately)

The same funding sources (General Revenue Fund, Federal Fund, etc.) were listed under each of the above program sub-divisions of the Department.

Notes on Data Sources. All figures excluded MR/DD Central Office administrative overhead costs allocable to the Department of Health and Mental Hygiene. Analytically excluded were such items as capital costs, depreciation, central payroll, personnel department costs, interest expenses on bonded indebtedness, and certain other "shared" expenses in the Assistant Secretary's Office. Aggregate amounts of excluded costs ranged from $4-9 million between 1979 and 1984, according to Charles Spannare, Division of Cost Accounting, MR/DD Administration (p.c., correspondence, 8/8/83).

Employee fringe benefits for institutional and community services had been budgeted in a central administrative account. Beginning in FY 1984, employee benefits were distributed to each program. For purposes of comparability with other states, which distributed benefit costs to programs, we added the following amounts of employee benefits to our analysis ($'s in thousands).

FY	Community (all G.F)	Institutional Total	Institutional (G.F.)	Institutional Federal ICF/MR
77	$103	$ 6,566	$5,581	$ 985
78	113	7,144	5,358	1,786
79	122	5,538	3,488	2,050
80	126	8,765	5,083	3,682
81	126	9,296	5,019	4,277
82	110	10,197	5,608	4,589
83	131	12,231	6,115	6,115
84	129	11,191	5,371	5,820

The institutional services figures for FY 1979-84 were calculated by Charles Spannare (p.c., correspondence, 8/8/83). To calculate institutional benefits for FY 1977-78 and the community programs' benefits for FY 1977-84, Spannare suggested determining 25% of the salaries and wages lines in the budget documents under the respective programs. For community programs, the entire fringe benefit amount each year was classified as General Fund. For institutions, we apportioned amounts to the General Fund and to Federal-share ICF/MR funds in the same proportions as these institutional revenues occurred in the state budget documents (prior to the addition of employee benefits). Average daily population figures for FY 1977-84 were provided by C. Spannare (p.c., telephone, 7/6/84).

Fiscal Year 1983 figures excluded Supplemental (Deficiency) Appropriations, consisting of $1.4 million for a major group home construction initiative, and a $290 thousand deficiency appropriation for Crippled Children's Services.

Expenditure and average daily population figures for FY 1984 and FY 1985 (actual) and for FY 1986 (budgeted) were provided for the Rosewood, Henryton, Great Oaks, Holly, Victor Cullen, Potomac, Finan (Brandenberg), Carter and Crownsville Centers (p.c., correspondence, Seldra Funk, Chief, Division of Planning, Mental Retardation and Developmental Disabilities Adminstration, Department of Health and Mental Hygiene, 4/21/86). The Henryton Center closed during FY 1985; the Crownsville Center closed during FY 1984.

As with institutional services expenditure figures for the previous years of the analysis (FYs 1977-83), several adjustments were made, and the net effect across all facilities is summarized below, for FY 1986 (dollar amounts in thousands):

Deduct property expenses	($1,004.7)
Add depreciation expenses	2,261.0
Water and Sewage purchase (Md. Dept. of Natural Resources).	37.5
Overhead/Indirect Costs; share of state-wide overhead	2,725.0
Interest expense on bonds	1,342.0
Shared services (laundry, dietary, etc.)	(1,186.2)
Educational Services costs	(2,265.3)
Net adjustment	$1,909.3

In prior years, adjustments had been made for medical services, which beginning in FY 1984 were included in facility budget figures; for employee benefits (which amounted to $10,320.5 in FY 1984--beginning FY 1985 was included in budget); and for research contracts, which expired during FY 1985.

Expenditure figures for community services for FY 1984 and FY 1985 (actual) and for FY 1986 (estimated expenditure based on appropriation) were reported in the 4/21/86 correspondence. Beginning in FY 1985, Title XX/Social Service Block Grant revenues were no longer available for individuals with mental retardation/developmental disabilities. The Title XIX Community Care Waiver was initiated in FY 1984.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included funds for the following MR/DD state centers: Rosewood, Henryton (closed, 1984), Great Oaks, Holly, Victor, Cullen, Potomac, Highland Health Facility, Carter, Crownsville (closed 1984), and Finan.

III. COMMUNITY SERVICES FUNDS

The following notes pertain to the Community Services computations:

State General Funds for community services consisted, in descending order of significance, of four budget items: 1) "Community Services," which contained over 90% of all funds; 2) "Crippled Children's Services"; 3) "Non-Retarded DD Services"; and 4) "Special Fund."

Other State Funds were "Direct-Local Unappropriated Funds."

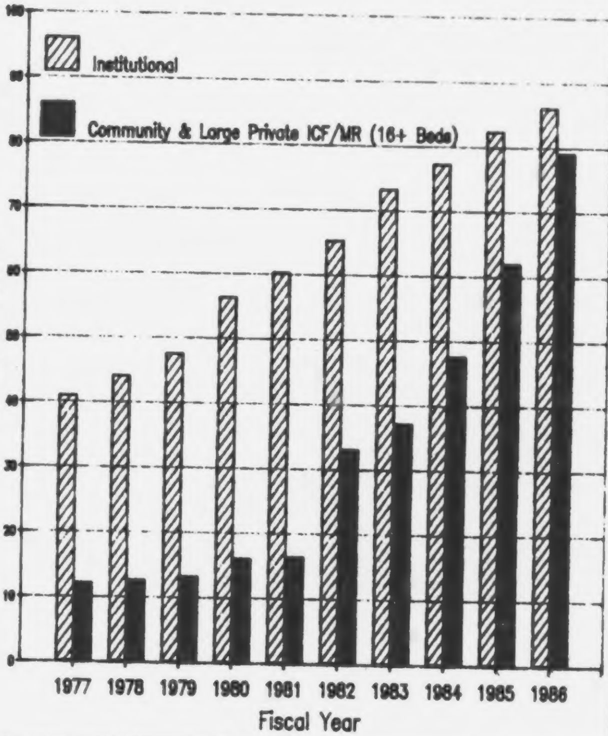
Private ICF/MR. Maryland did not fund private community residential facilities with ICF/MR funds (p.c., telephone, MR Chief, Nursing Home Division, Office of Long-Term Care, Medical Assistance Policy Administration, Department of Health and Mental Hygiene, 9/27/83).

Federal Title XX/SSBG. Federal Funds for community services consisted almost entirely of Title XX/SSBG funds between FYs 1977-83. The Title XX entries excluded the Health and Hygiene Department's administrative costs, (p.c., telephone, Charles Busnuk, Title XX Coordinator, MR/DD Administration, 9/27/83).

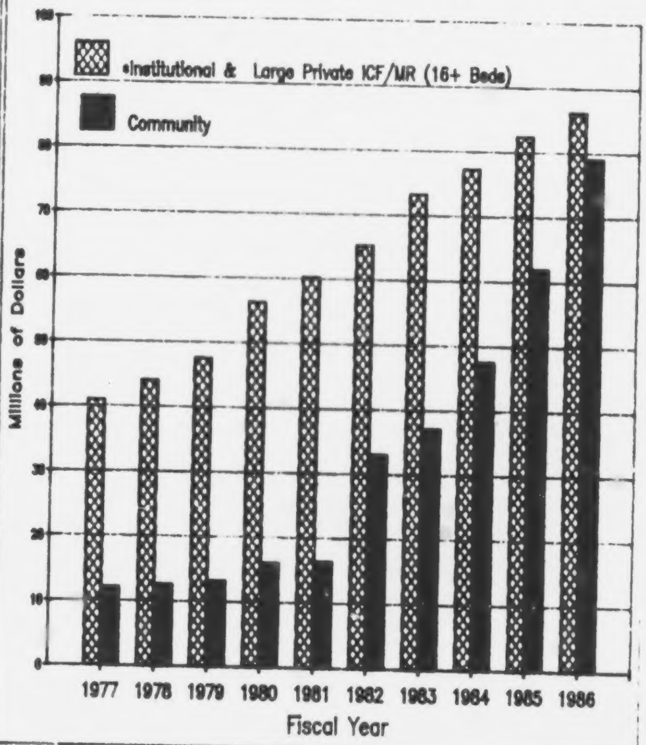
Waiver. Community Care Waiver services were initiated in FY 1984.

MARYLAND

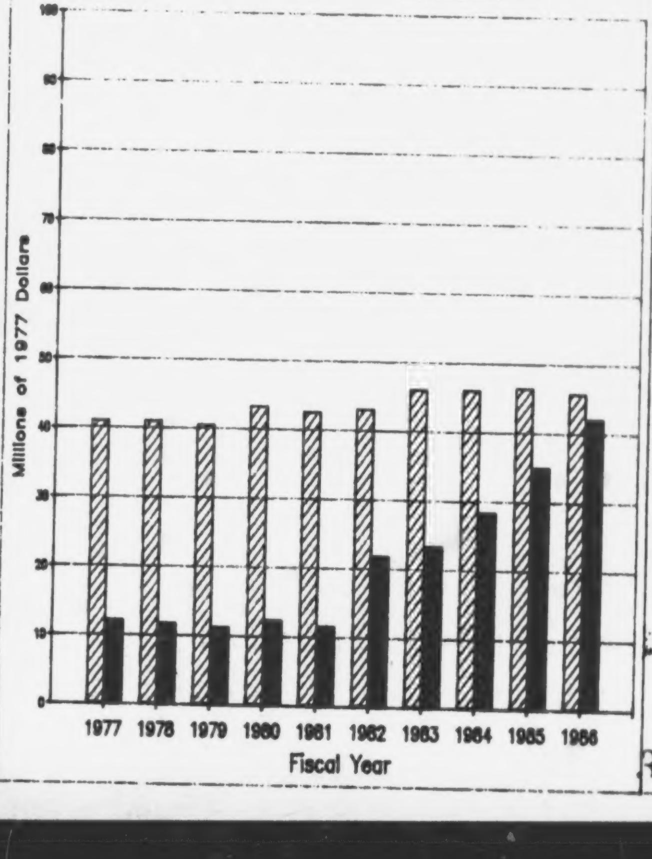
MR/DD Expenditures
for *Institutional* & *Community* Services



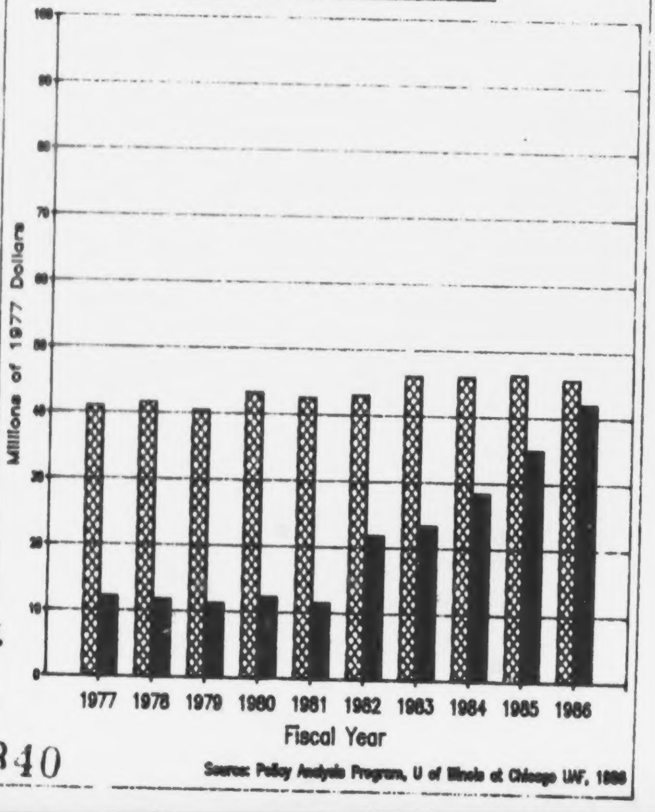
MR/DD Expenditures for Large Congregate*
& Community Services



Adjusted for Inflation



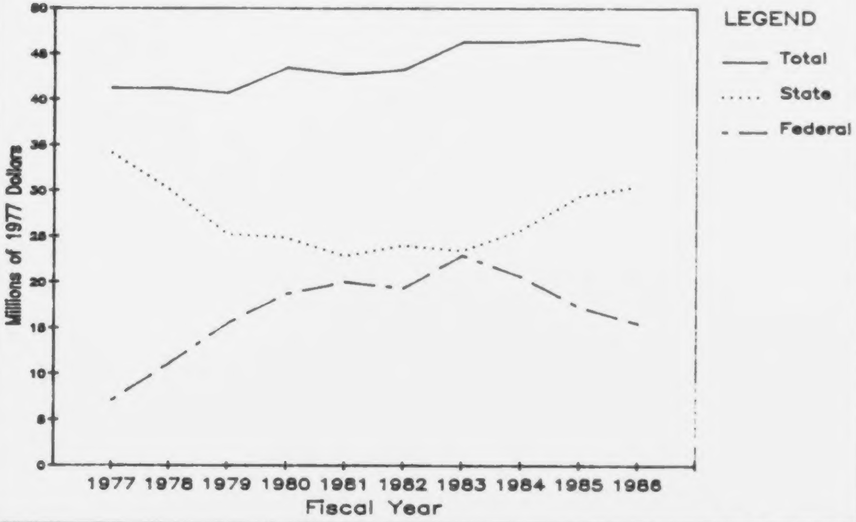
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAP, 1988

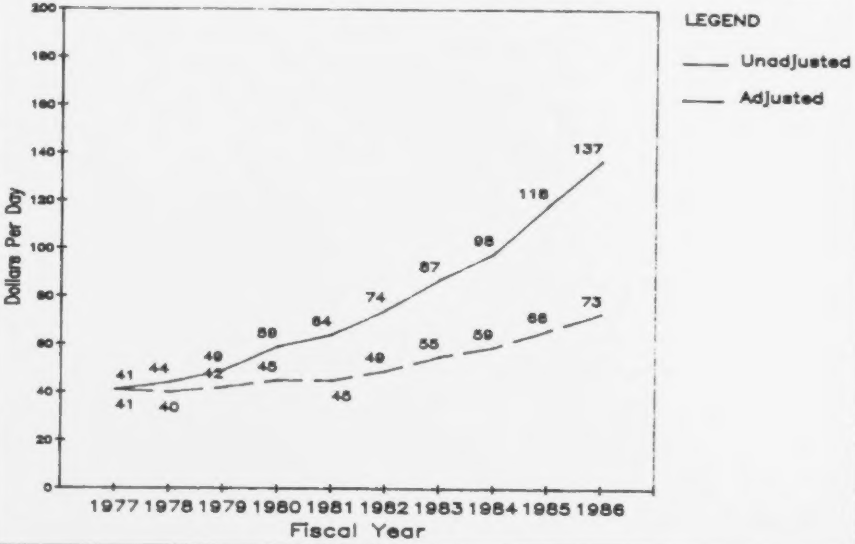
MARYLAND

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

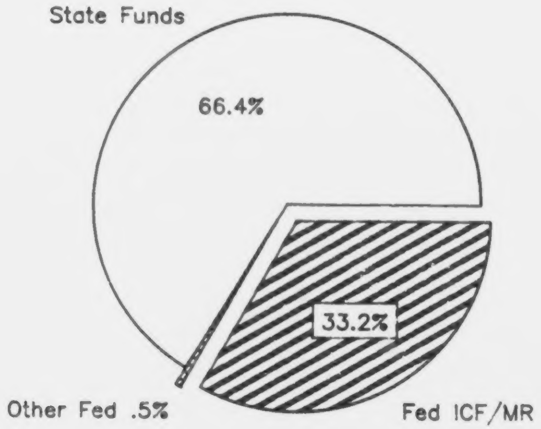


MARYLAND

Institutional Per Diem Costs: FY 1977–86

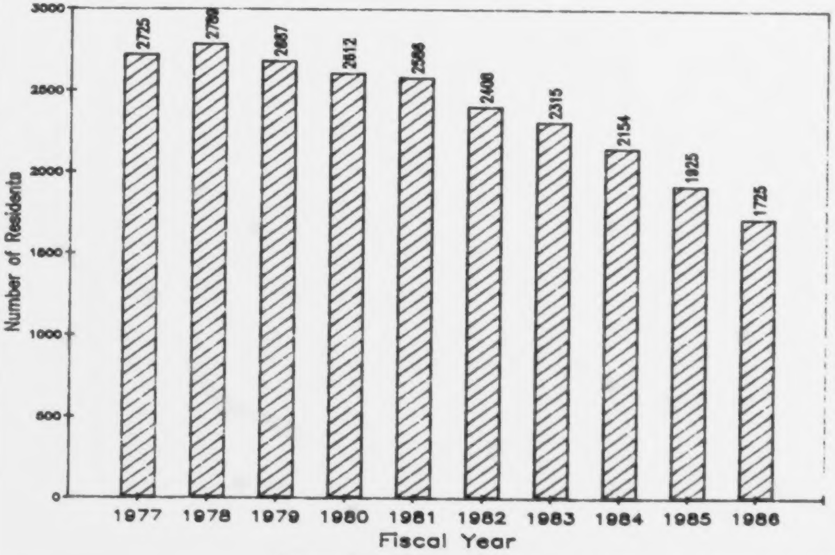


Institutional Revenue Detail: FY 1986 (Unadjusted)



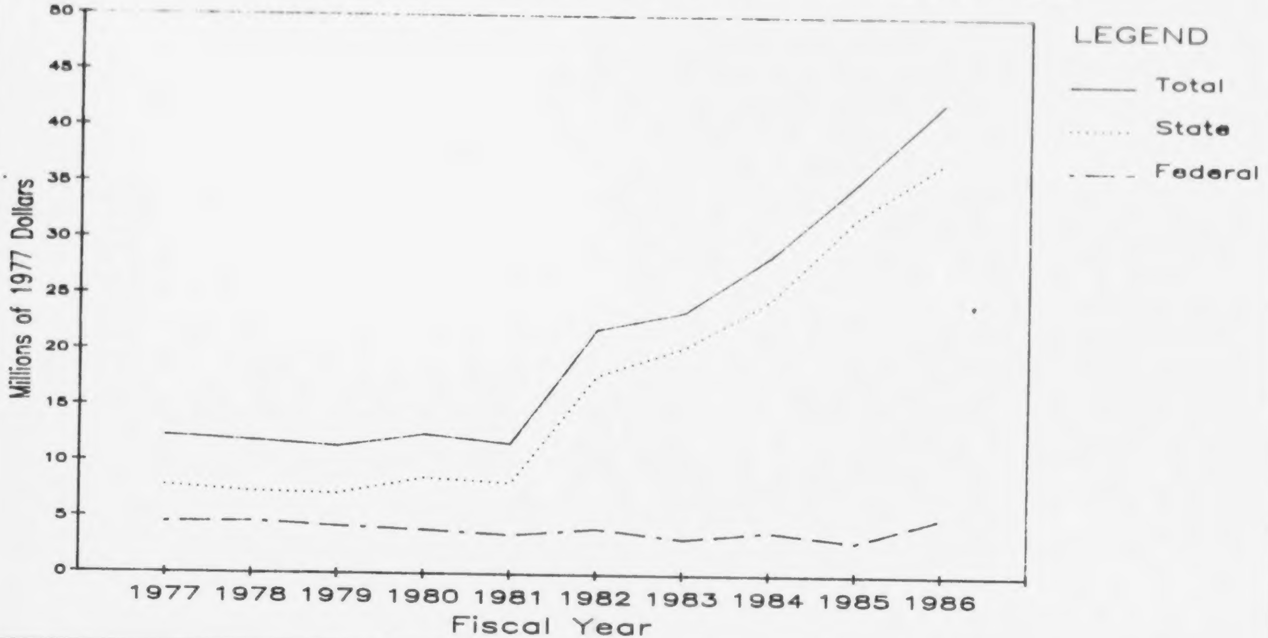
FY 1986 Total Funds: $86.3 Million

Average Daily Residents in Institutions

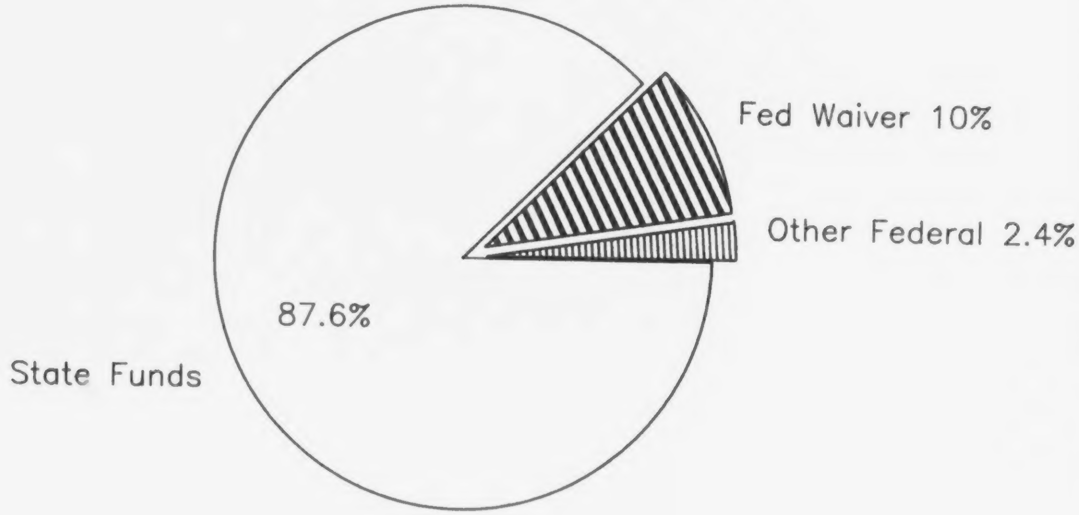


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MARYLAND
Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

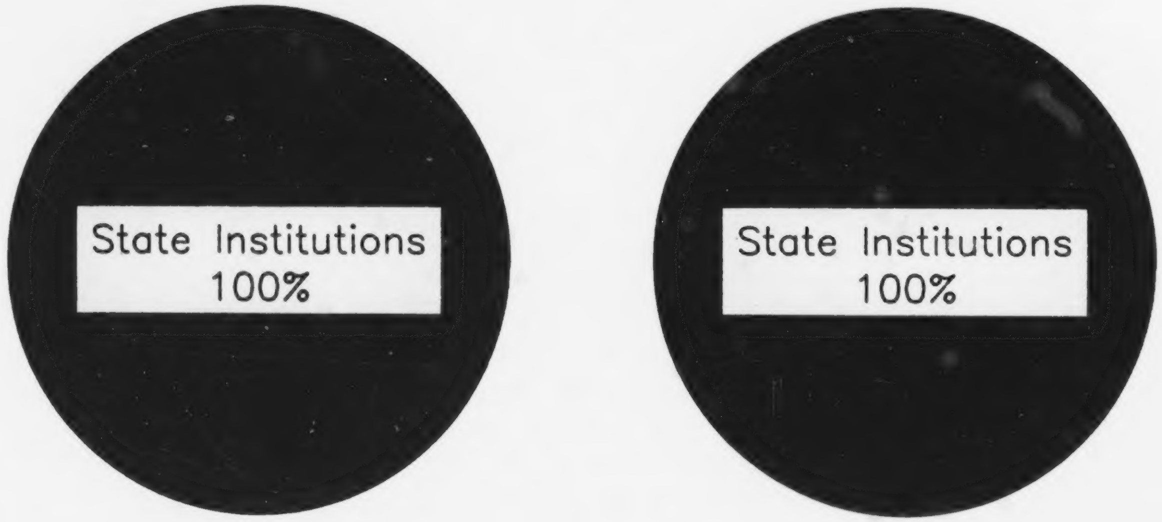


FY 1986 Total Funds: $79.3 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MARYLAND

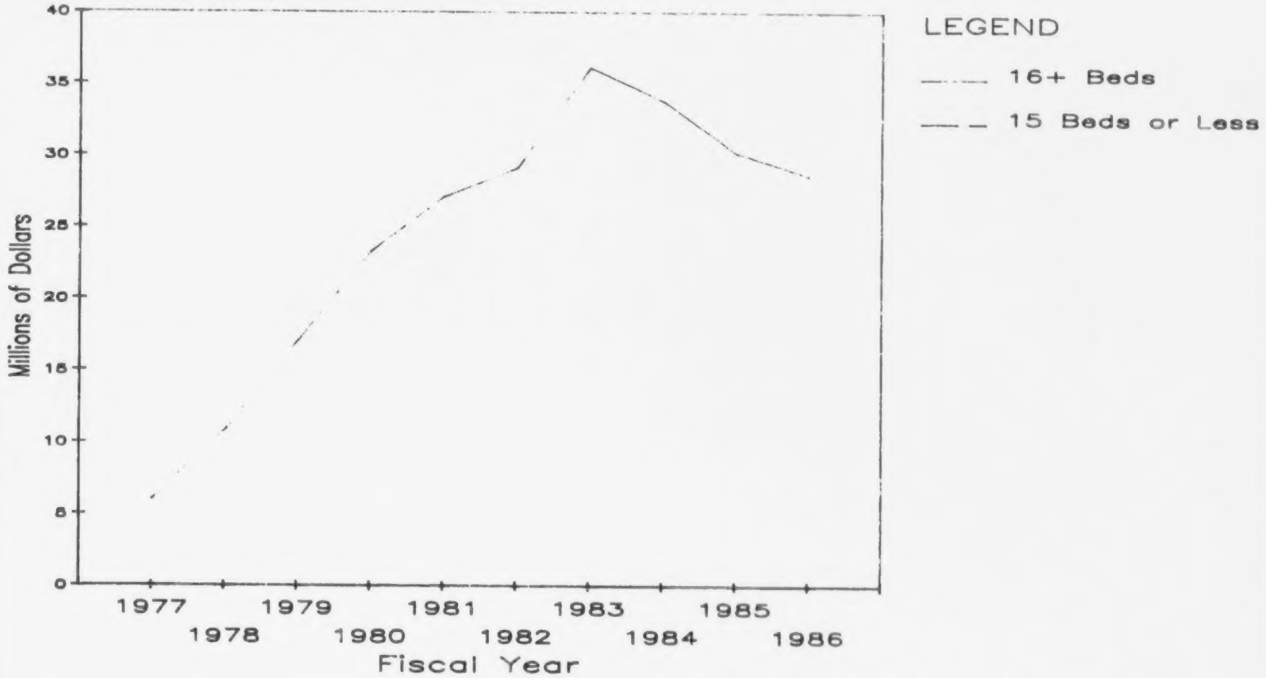
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



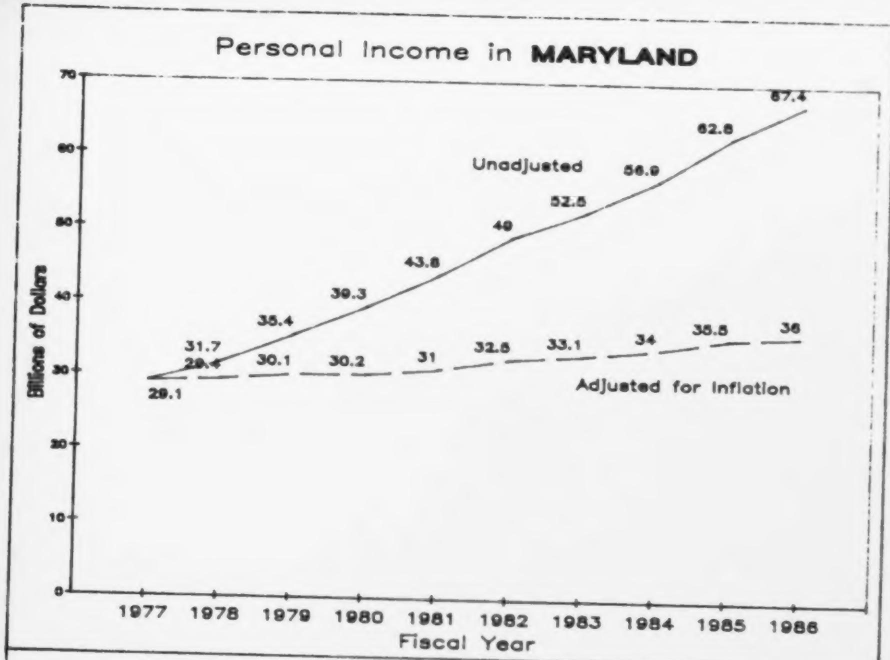
FY 1977 Total Federal Funds: $6 Million

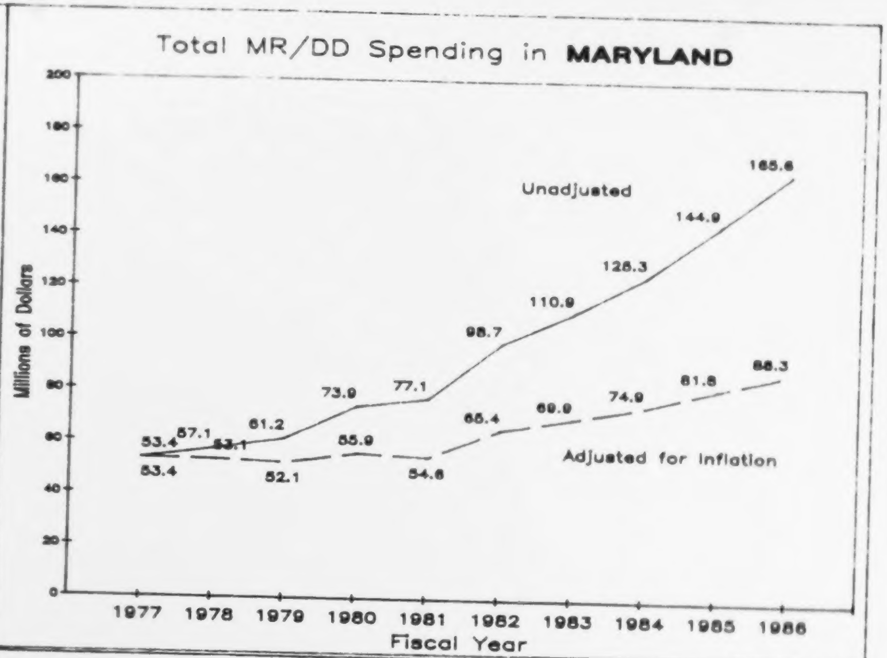
FY 1986 Total Federal Funds: $28.6 Million

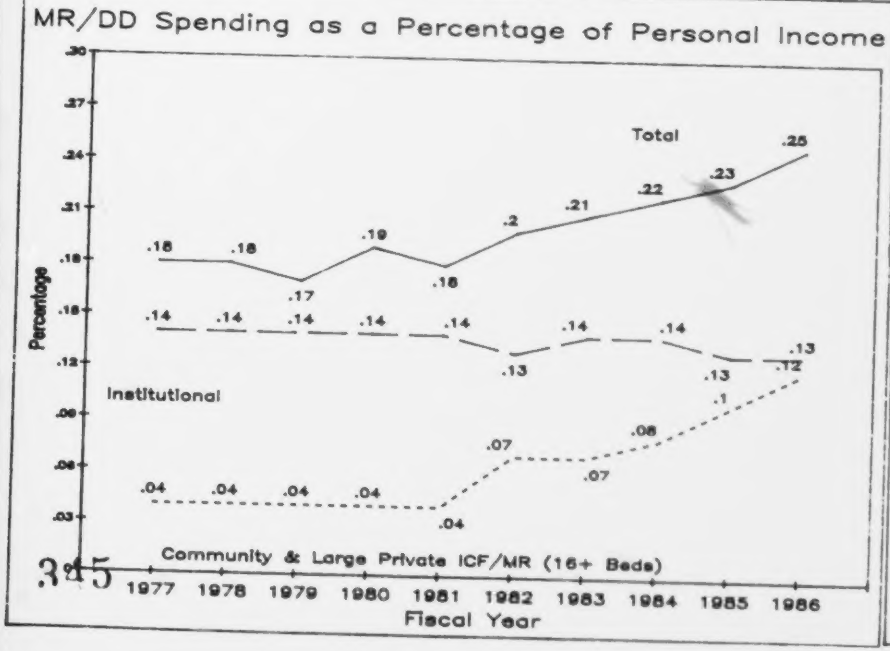
By Facility Size, FY 1977--86

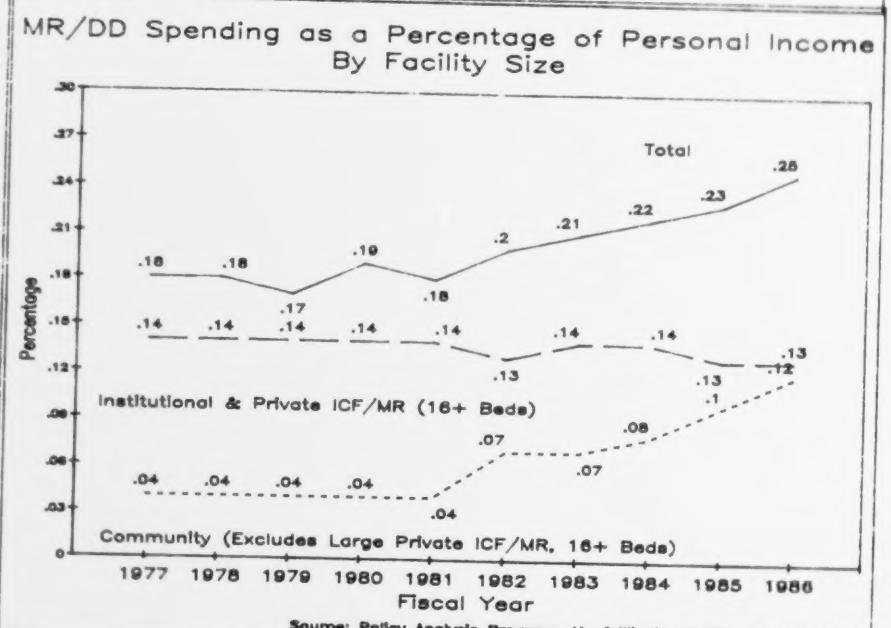


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986


Personal Income in **MARYLAND**


Total MR/DD Spending in **MARYLAND**


MR/DD Spending as a Percentage of Personal Income


MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

MARYLAND 4/29/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	73,542,000	78,838,000	84,972,000	99,512,000	108,976,000	133,870,000	149,008,000	167,201,100	195,613,800	213,634,500
TOTAL INSTITUTIONAL/COMMUNITY	53,389,000	57,075,000	61,182,000	72,872,000	77,106,000	98,730,000	110,919,000	125,276,100	144,892,800	165,604,500
STATE FUNDS	41,820,000	40,150,000	37,967,000	43,430,700	43,831,380	63,248,900	69,556,500	84,340,100	109,060,900	126,726,100
General Funds	39,725,000	39,650,000	37,071,000	42,674,700	42,664,380	60,762,900	66,558,500	81,201,300	106,148,400	123,789,900
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	2,095,000	500,000	896,000	756,000	1,167,000	2,486,000	2,998,000	3,138,800	2,912,500	2,936,200
FEDERAL FUNDS	11,569,000	16,925,000	23,215,000	29,441,300	33,274,620	35,481,100	41,362,500	40,936,000	35,831,900	38,878,400
Title XIX Funds	5,985,000	10,786,000	17,005,000	23,287,300	27,078,620	29,094,100	36,144,500	34,083,400	33,458,300	36,517,600
Title XX / SSBG Funds	4,243,000	4,874,000	4,867,000	4,863,000	4,874,000	3,842,000	3,899,000	3,883,600	0	0
Other Federal Funds	1,341,000	1,265,000	1,343,000	1,291,000	1,322,000	2,545,000	1,319,000	2,969,000	2,373,600	2,360,800
INSTITUTIONAL SERVICES FUNDS	41,154,000	44,278,000	47,814,000	56,614,000	60,511,000	65,475,000	73,502,000	77,470,900	82,644,200	86,278,200
STATE FUNDS	34,085,000	32,327,000	29,585,000	32,237,700	32,210,380	36,261,900	37,205,500	43,045,700	52,046,200	57,247,600
General Funds	33,795,000	32,288,000	29,400,000	32,212,700	32,170,380	35,623,900	36,673,500	42,587,500	51,870,900	57,049,700
Other State Funds	290,000	39,000	185,000	25,000	40,000	638,000	532,000	458,200	175,300	197,900
FEDERAL FUNDS	7,069,000	11,951,000	18,229,000	24,376,300	28,300,620	29,213,100	36,296,500	34,425,200	30,598,000	29,030,600
Federal ICF/MR	5,985,000	10,786,000	17,005,000	23,287,300	27,078,620	29,094,100	36,144,500	33,827,400	30,230,200	28,582,100
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	1,084,000	1,165,000	1,224,000	1,089,000	1,222,000	119,000	152,000	597,800	367,800	448,500
COMMUNITY WITH FEDERAL INCOME MAINT	32,388,000	34,560,000	37,158,000	42,898,000	48,465,000	68,395,000	75,506,000	89,730,200	112,969,600	127,356,300
COMMUNITY SERVICES FUNDS	12,235,000	12,797,000	13,368,000	16,258,000	16,595,000	33,255,000	37,417,000	47,805,200	62,248,600	79,326,300
STATE FUNDS	7,735,000	7,823,000	8,382,000	11,193,000	11,621,000	26,987,000	32,351,000	41,294,400	57,014,700	69,478,500
General Funds	5,930,000	7,362,000	7,671,000	10,462,000	10,494,000	25,139,000	29,885,000	38,613,800	54,277,500	66,740,200
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	1,805,000	461,000	711,000	731,000	1,127,000	1,848,000	2,466,000	2,680,600	2,737,200	2,738,300
FEDERAL FUNDS	4,500,000	4,974,000	4,986,000	5,065,000	4,974,000	6,268,000	5,066,000	6,510,800	5,233,900	9,847,800
ICF/MR Funds	0	0	0	0	0	0	0	0	0	0
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	0	256,000	3,228,100	7,935,500
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	256,000	3,228,100	7,935,500
Title XX / SSBG Funds	4,243,000	4,874,000	4,867,000	4,863,000	4,874,000	3,842,000	3,899,000	3,883,600	0	0
Other Federal Funds	257,000	100,000	119,000	202,000	100,000	2,426,000	1,167,000	2,371,200	2,005,800	1,912,300
FEDERAL INCOME MAINTENANCE	20,153,000	21,763,000	23,790,000	26,640,000	31,870,000	35,140,000	38,089,000	41,925,000	50,721,000	48,030,000
Suppl. Security Income (SSI)	14,985,000	16,020,000	17,093,000	18,687,000	21,883,000	24,026,000	26,089,000	29,522,000	31,455,000	33,544,000
Childhood Disability (SSDI)	5,168,000	5,743,000	6,697,000	7,953,000	9,987,000	11,114,000	12,000,000	12,403,000	19,266,000	14,486,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
Daily Institutional Population	2,725	2,789	2,687	2,612	2,586	2,408	2,315	2,154	1,925	1,725
Institutional Per Diem	41.38	43.50	48.75	59.22	64.11	74.49	86.99	98.27	117.62	137.03

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MASSACHUSETTS

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The Commonwealth of Massachusetts' services for mentally retarded and developmentally disabled individuals are managed by the Division of Mental Retardation, in the Department of Mental Health, which is under the direction of the Executive Office of Human Services. There are seven districts throughout the state, which oversee the five State Schools, the three State Centers, and the various community services components.

Budget Format. The Massachusetts budget documents were organized into sections for "Revenue," "Personnel," "Agency Operations," "Non-Agency Costs," "Local Aid," "Debt Service" and "Federal Funds." At the beginning of the "Agency Operations" sections of the budget documents there was a "Department of Mental Health Agency Operations Summary Table," with the following format (c.f., page 61, Agency Operations section, Volume I, Executive Budget for FY 1984):

Administration
    Central and Regional
Mental Health
    Community Programs
    State Hospitals
    Mental Health Centers
Total, Mental Health and Administration

Mental Retardation
    State Schools
    State Centers
    Administration
    Community Programs
Total, Mental Retardation
TOTAL DMH
  (Less-Departmental Revenue)

Net State Cost

Note on Data Sources. Our project reviewed Executive Budget Recommendations of the Commonwealth of Massachusetts for Budget Years 1979, 1980, 1982 and 1984. These budget books provided expenditure figures identified as "expenses" in FY 1977, FY 1978, FY 1980 and FY 1982; "appropriations" in FY 1979, FY 1981 and FY 1983, and "Governor's Recommendation" in FY 1984. The revenue detail was available only for the total DMH; therefore, state officials were contacted. Correspondence (11/15/83), and subsequent phone interviews with Mary Fratto, Community Programs, Division of Mental Retardation, Department of Mental Health, provided community and institutional expenditure figures ("actual" for FYs 1977-83, and "appropriated" for FY 1984).

The budget documents provided mid fiscal year (January 31st) population figures for the State Schools and State Centers (aggregated). Federal share ICF/MR revenue figures were reported by Dave Cox, Assistant Director, Budget Bureau of the Commonwealth of Massachusetts (p.c., telephone, 11/30/83). Since these Federal Revenues were included in the "Departmental Revenue" figures as a transfer "on the books" from the Department of Public Welfare, they were, in the present analysis, subtracted from total institutional expenditures, leaving a balance consisting of State General Fund.

Institutional services expenditure and average daily population figures for FYs 1984-85 (actual) and for FY 1986 (appropriated) were provided by Meredith Mack, Analyst, Massachusetts Budget Bureau (p.c., telephone, 1/28/86). Federal ICF/MR revenue figures for those years were provided by Dave Cox of the Budget Bureau (p.c., 1/28/86). (There had been three separate centers, but beginning in FY 1984, Hogan and Berry, which are five miles apart, were administratively and budgetarily merged.) Expenditure figures for state-funded community services operated by DMH were provided by M. Fratto (p.c., telephone, 1/29/86) for FYs 1984-85 (actual) and for FY 1986 (appropriated). See notes below in Section III (Community Services) for additional information on Private ICFs/MR, Title XX/SSBG and the Community Care Waiver.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the expenditures for Belchertown, Monson, Fernald, Wrentham and Dever State Schools; and the Gavin, Berry and Hogan State Centers (the latter two combined administratively in FY 1984).

Construction. Included in the ICF/MR Federal revenues and state match was the amortization of capital construction costs, resulting from a significant capital improvement program at the state schools. These capital improvements began in 1972, after the first consent decree, and, consistent with Medicaid reimbursement procedures affecting the State, the costs were amortized within institutional services reimbursement requests. Expressed as expenditures in the years they occurred (rather than as amortized), the capital improvement costs were ($ in thousands):

1972 - 1976:	$7,000
1977:	9,700
1978:	5,900
1979:	15,400
1980:	30,600
1981:	20,800
1982 - 1985:	70,100 (projected)

TOTAL: $159,500 (in thousands of dollars)

Dave Cox (p.c., telephone, 11/30/83) noted that, due to a provision in the ICF/MR reimbursement process, and related to the consent decrees, HCFA had allowed accelerated collection of the Federal reimbursement. Thus, as originally reported, the ICF/MR revenue figures were ($ in thousands):

FY 1983: $135,509.0
FY 1984: $102,149.0

Cox recommended that $18.5 million be subtracted from the FY 1983 figure, and added to the FY 1984 figure in our analysis, to better reflect annual operational costs and therefore the anticipated annual reimbursements.

Construction costs for FYs 1982-85 were increased from $70.1 million to $79.6 million--$63.4 million for state schools and $16.2 million for ICF "A" facilities to be constructed on the state institutions' grounds (p.c., Mary Fratto, 1/29/86). ICF "A" facilities (see discussion below in Section III) are to be built on the outskirts of large institutional campuses, to serve as a component in compliance with placement requirements under the current Consent Decree. Recent legislation mandated that these new facilities be located on state grounds in order to avoid zoning problems, and--although the facilities are to be privately managed--the legislation also stipulated that they be "state-operated," in terms of the utilization of state school staff. The facilities would cost $500 thousand each to build.

III. COMMUNITY SERVICES FUNDS

Community services consisted of the Department of Mental Health's funding of community residences, early intervention services, staffed apartments, and co-operative apartments; private ICF/MR funding, and Title XX/Social Services Block Grant funding.

Private ICF/MR. Beginning in FY 1980, the DPW has managed a Private ICF/MR program. Small ICFs/MR, categorized as ICF/MR "A," conformed to the National Fire Protection Association's Institutional Occupancy Life Safety Code and cost approximately $45,000/resident/year; ICFs/MR "B" utilized the NFPA's Residential Occupancy Life Safety Code and cost approximately $35,000/resident/year. Expenditure figures for FYs 1980-85 (actual) and for FY 1986 (projected) were reported by L. Ansorge (p.c., telephone, 1/28/86). The numbers of facilities and of clients served were:

State Fiscal Year	Spending (Federal & State)	# of Facilities: # ICF A	# ICF B	Total Clients
1980	$ .3 million	2	0	16
1981	1.1 million	2	4	52
1982	2.2 million	3	6	76
1983	3.3 million	4	12	132
1984	5.1 million	5	12	140
1985	7.8 million	13	16	229
1986	12.0 million	23	16	307
1987(Proj.)	14.8 million	24	16	315

These "vendor-operated" facilities will not expand after FY 1987; growth will be in the DMH-managed ICFs "A" on institutional campuses (see notes above).

Waiver. The Massachusetts application requested that a total of 914 individuals be served in alternative community programs for the four years beginning in FY 1984. Six hundred clients were served in FY 1985 and 900 were served in FY 1986 (p.c., D. Cox, 1/29/86).

Title XIX Day Programs (Day Habilitation Programs). These programs were reimbursed by Title XIX; figures were provided by Laurie Ansorge, Budget Analysis, Department of Public Welfare (p.c., telephone, 1/28/86). The following amounts (Federal and state share combined) were included in our analysis:

FY 1980--	$.9 million	6 programs
FY 1981--	$1.2 million	10 programs
FY 1982--	$2.2 million	12 programs
FY 1983--	$3.3 million	19 programs
FY 1984--	$3.8 million	23 programs
FY 1985--	$6.4 million	26 programs
FY 1986--	$7.5 million	31 programs
FY 1987--	$10.8 million (projected)	36 programs

There were from 30-50 clients served per program; in FY 1986 about 800 individuals per month were being reimbursed by Title XIX. The programs served the more substantially handicapped individuals being discharged from state schools. Day Habilitation programs were funded by the Department of Public Welfare and certified for Medicaid reimbursement by the Department of Public Health (DPH), yet DMH had program responsibility for the clients.

Federal Title XX/SSBG. The Federal Title XX/SSBG figures were obtained from the Commonwealth of Massachusetts Comprehensive Annual Social Service Plan, Title XX for FYs 1978-82 (Final Editions). MR/DD client numbers and expenditure figures were available only in the FY 1978 document (FY 1977 "actual" and FY 1978 "estimated"); therefore the following method was utilized to extrapolate FY 1979-81 figures. First, total state-wide services figures (exclusive of administration costs) were obtained for each year, along with Federal Title XX revenue, and the Federal revenues, as a percentage of total expenditures, was calculated ($ in thousands):

State Fiscal Year	State-wide Expend.	Federal Revenue	Percentage
1977	$107,222.0	$68,762.5	64.1%
1978	113,468.0	68,250.0	60.1%
1979	141,253.0	78,479.0	55.6%
1980	167,710.0	72,163.4	43.0%
1981	189,014.0	76,787.0	40.6%

Second, the total DMH (including MR/DD) expenditures were found for each year in the Comprehensive Annual Plans; MR/DD expenditures were available for FY 1977 and FY 1978 only, therefore MR/DD expenditures as a percentage of total DMH expenditures for these two years were averaged, and this result was utilized for the FY 1979-81 calculations ($ in thousands).

State Fiscal Year	DMH Total Expend.	MR/DD Expenditure	Percentage
1977	$15,398.0	$12,349.0	80.2%
1978	19,451.0	14,724.0	75.7%
1979	21,468.0	16,745.0 (estimated)	78.0%
1980	28,597.0	22,305.7 (estimated)	78.0%
1981	24,058.5	18,765.6 (estimated)	78.0%

Finally, the Federal revenue percentages, from the first step above, were applied to the actual FY 1977 and FY 1978 MR/DD expenditures and to the estimated FY 1979-81 expenditures, to arrive at the estimated MR/DD Federal Title XX revenues for FY 1977-81 in our analysis. This process for calculating estimated MR/DD Title XX expenditures was reviewed in a 12/5/83 telephone interview with Julia Herskowitz, Director of Planning, Evaluation and Monitoring Unit, Department of Social Services. She noted that the increase for DMH Title XX in FY 1980 (see table above) was related to consent decrees, and that the former Department of Public Welfare in FY 1977-80, and the Department of Social Services in FY 1981, had provided the State match to the Federal dollars. This 25% match was included in our analysis as Other State Funds.

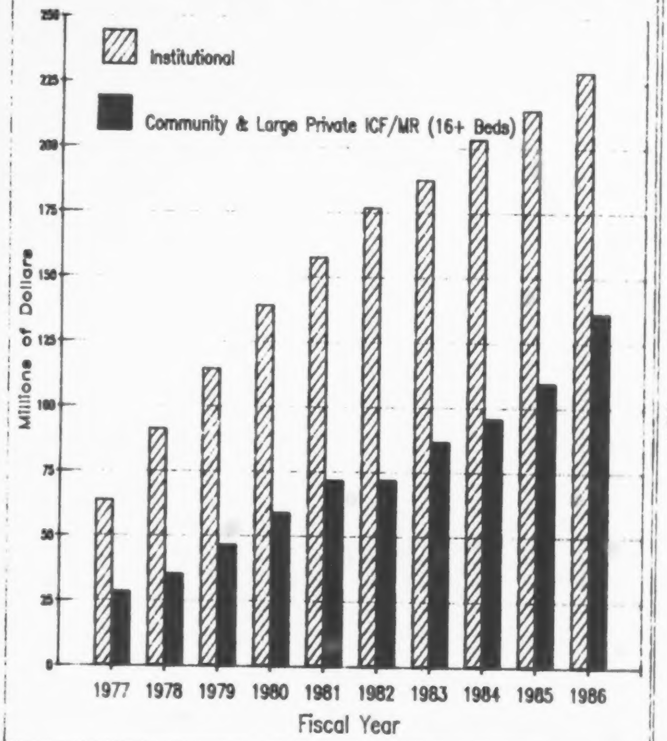
Note on FY 1982-86 Title XX/SSBG: The ASP Plan for FY 1982 of the Department of Social Services, dated April 1, 1981, noted (p. X-6) that: "The Department of Mental Health ceased its participation in the Title XX program July 1, 1981. The Department will continue to provide the same services, funded from a state appropriation."

Other Federal Funds were reported by D. Cox (p.c., telephone, 11/30/83). He noted that the funds were primarily Developmental Disabilities grants.

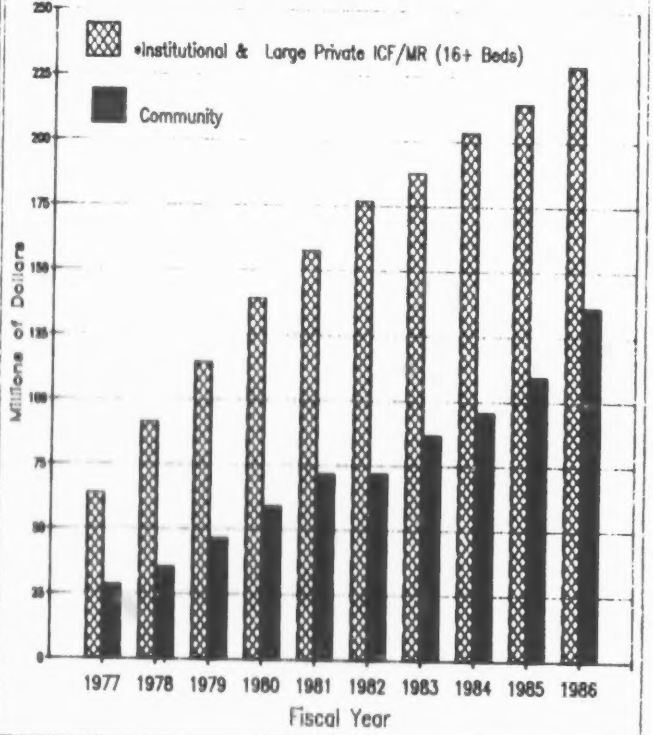
Chapter 688: This legislation specified services for individuals "aging out" of educational entitlements. The Community Services expenditures included $657.0 thousand in FY 1985 and $4.0 million in FY 1986 for Chapter 688 services.

MASSACHUSETTS

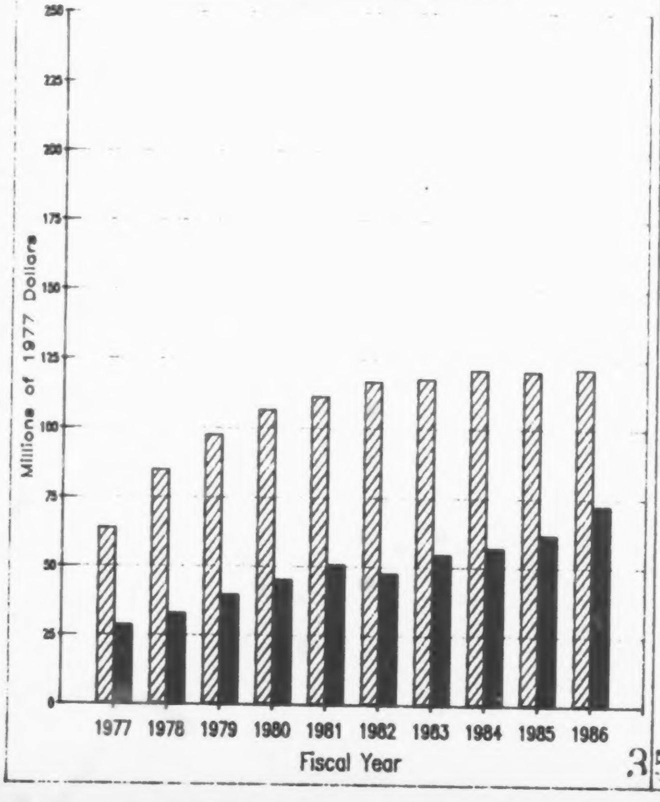
MR/DD Expenditures for *Institutional* & *Community* Services



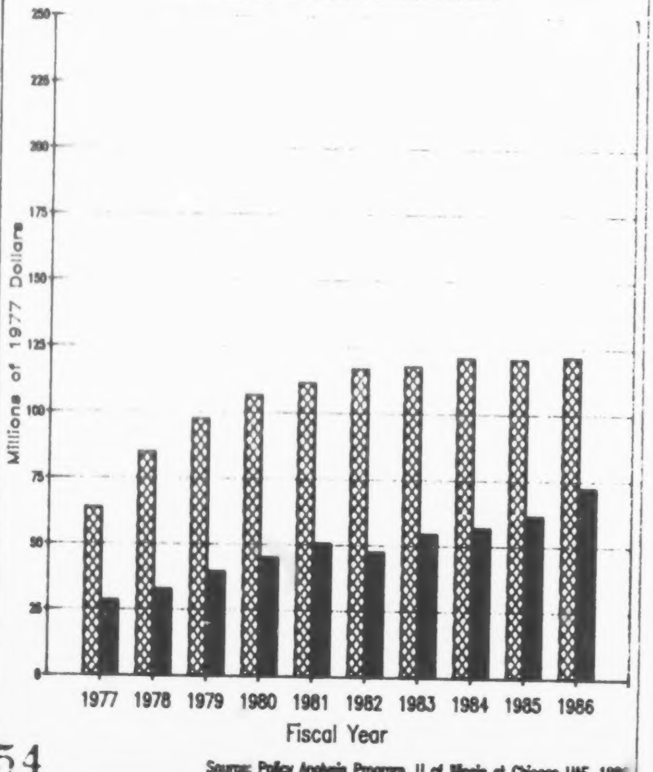
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



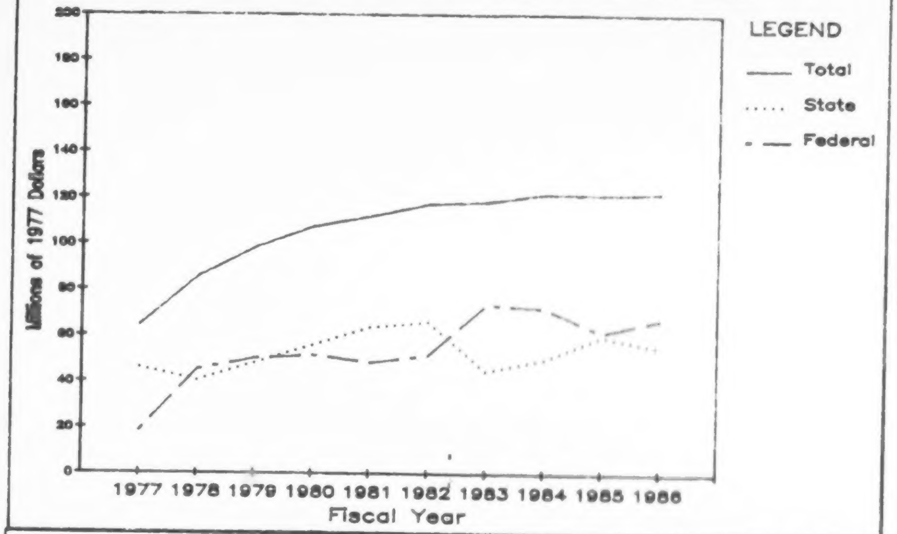
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 198

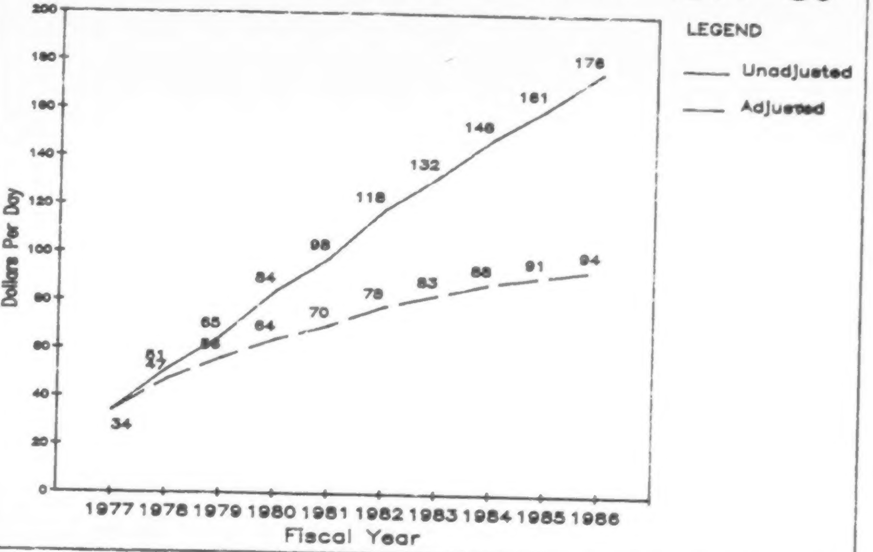
MASSACHUSETTS

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

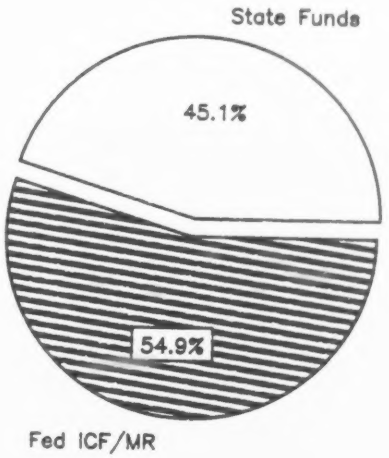


MASSACHUSETTS

Institutional Per Diem Costs: FY 1977–86

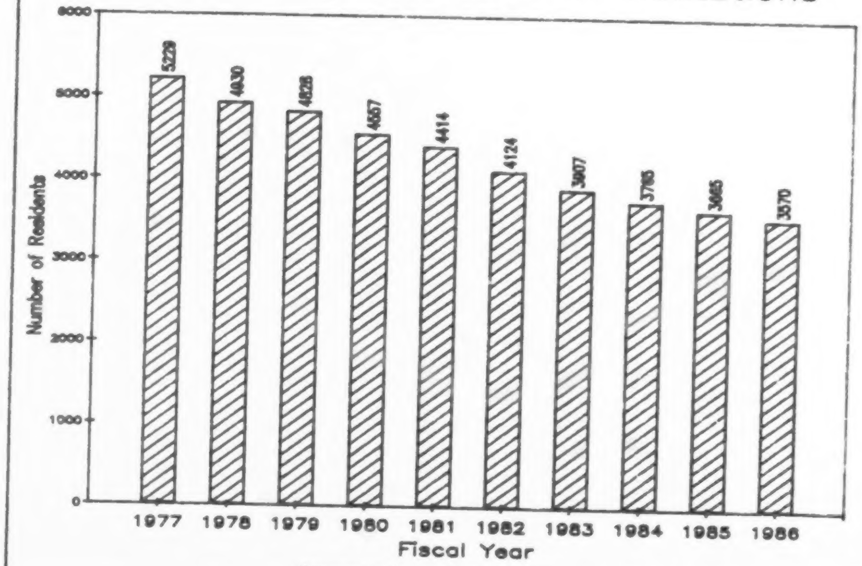


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $229.7 Million

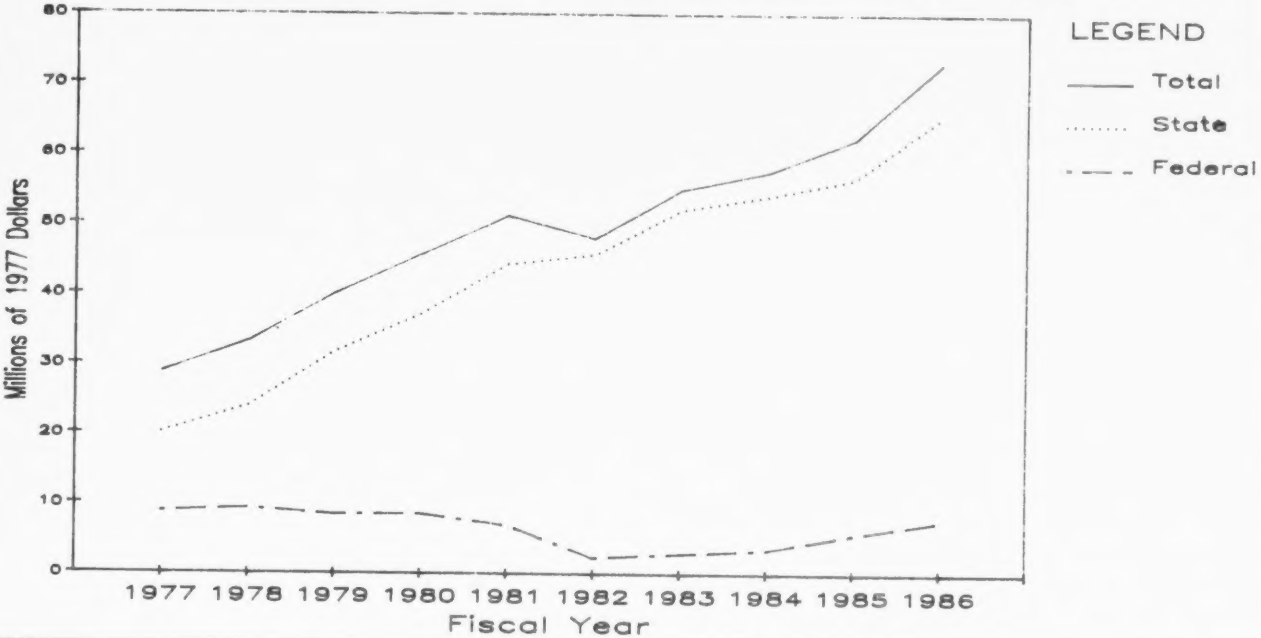
Average Daily Residents in Institutions



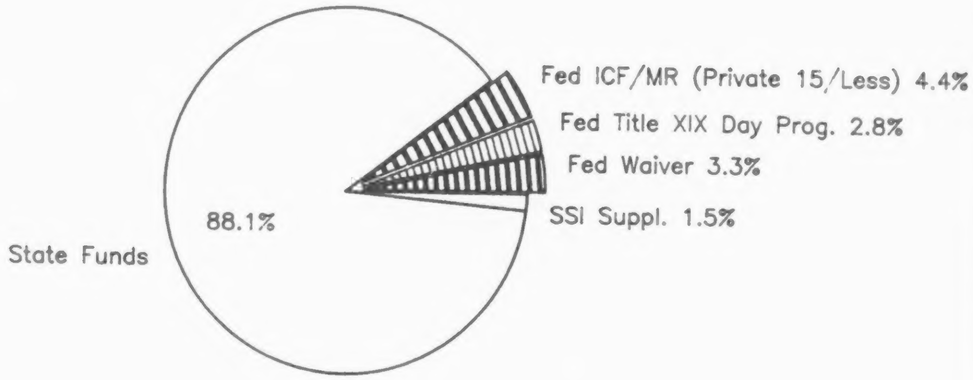
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

MASSACHUSETTS

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

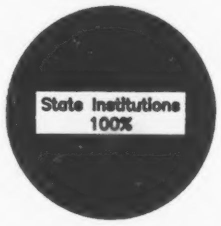


FY 1986 Total Funds: $137 Million

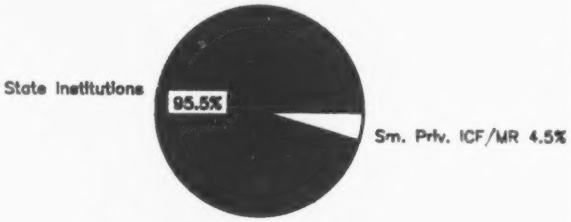
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MASSACHUSETTS

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

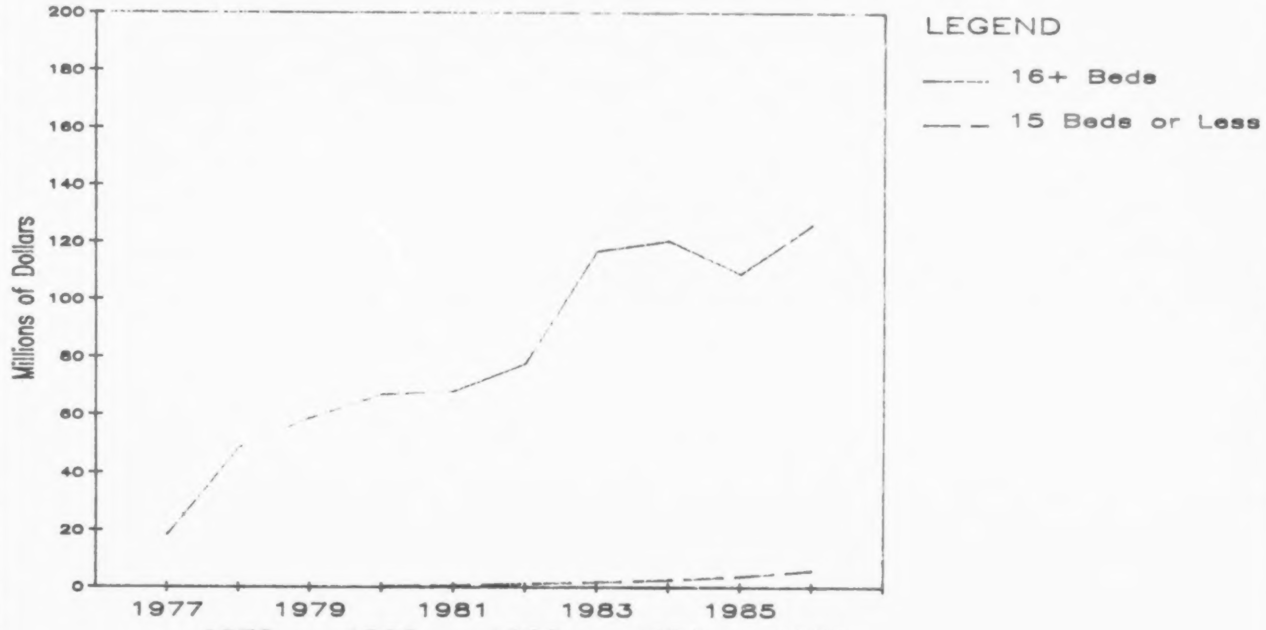


FY 1977 Total Federal Funds: $18.4 Million

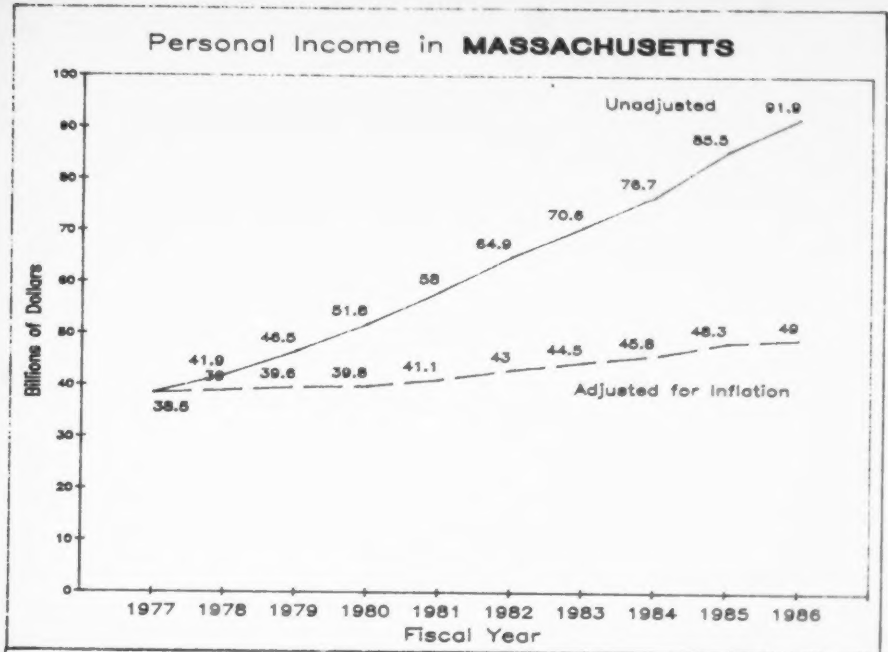


FY 1986 Total Federal Funds: $132.2 Million

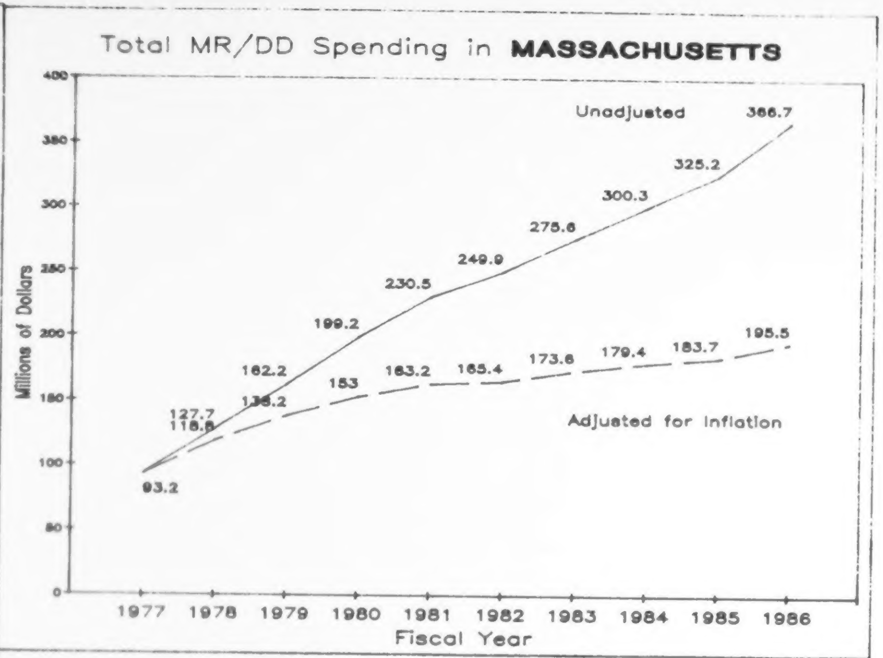
By Facility Size, FY 1977–86



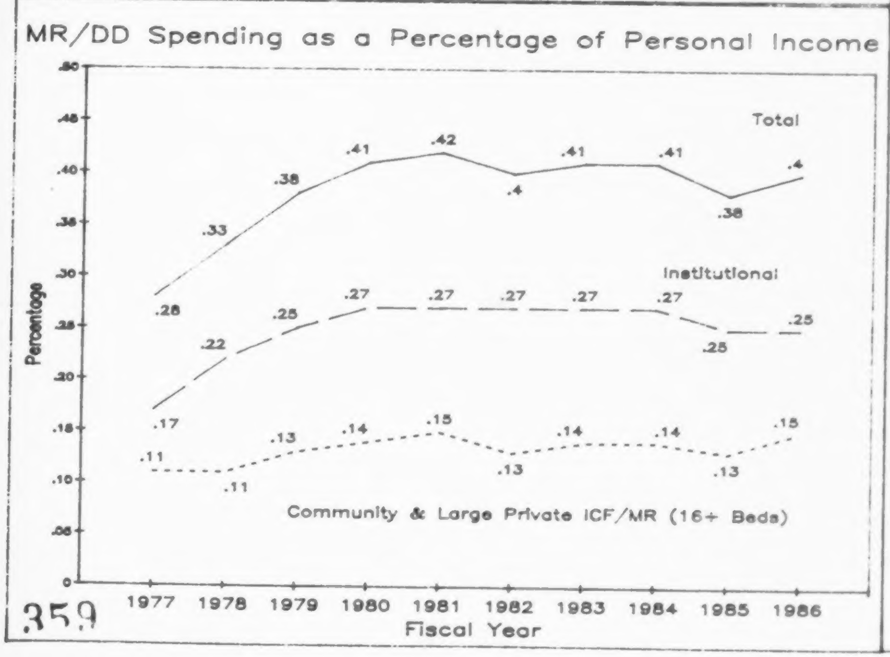
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



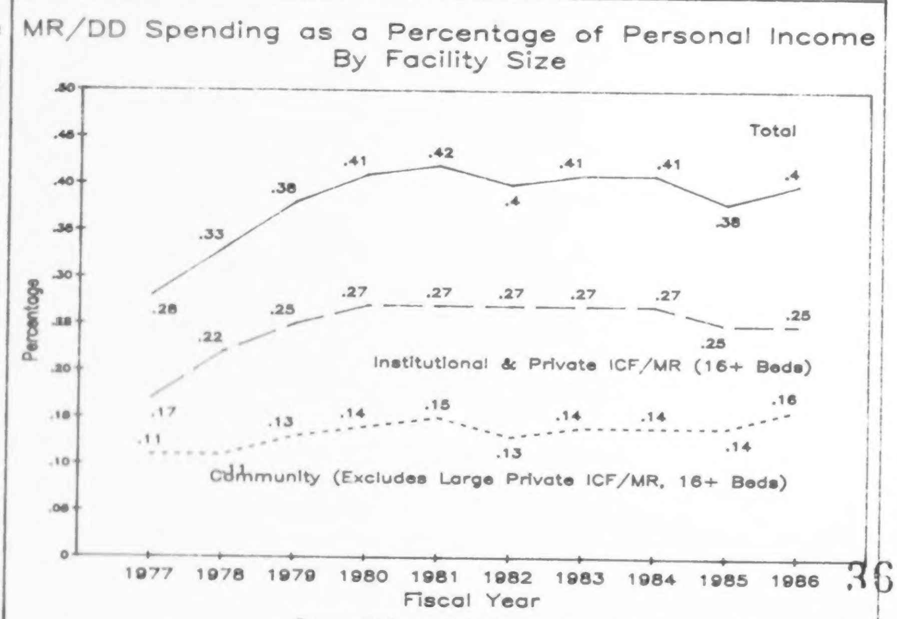
Personal Income in **MASSACHUSETTS**



Total MR/DD Spending in **MASSACHUSETTS**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MASSACHUSETTS 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	109,697,700	146,031,700	182,550,300	222,523,300	258,833,700	281,744,000	309,444,000	337,144,000	369,851,000	413,492,000
TOTAL INSTITUTIONAL/COMMUNITY	93,245,700	127,726,700	162,173,300	199,156,300	230,534,700	249,881,000	275,592,000	300,262,000	325,181,000	366,728,000
STATE FUNDS	66,052,700	69,137,700	93,526,300	121,021,400	152,567,400	168,760,000	153,949,000	173,778,000	206,200,000	226,203,000
General Funds	61,240,000	64,192,000	88,405,000	115,811,100	148,019,700	166,703,000	151,889,000	171,824,000	202,412,000	222,382,000
SSI State Supplement	2,174,000	1,996,000	2,018,000	2,013,000	2,008,000	2,057,000	2,060,000	1,954,000	2,067,000	2,026,000
Other State Funds	2,638,700	2,949,700	3,103,300	3,197,300	2,539,700	0	0	0	1,721,000	1,795,000
FEDERAL FUNDS	27,193,000	58,589,000	68,647,000	78,134,900	77,967,300	81,121,000	121,643,000	126,484,000	118,981,000	140,525,000
Title XIX Funds	18,360,000	48,608,000	58,795,000	67,621,900	69,391,300	79,978,000	120,445,000	125,106,000	118,981,000	140,525,000
Title XX / SSBG Funds	7,916,000	8,849,000	9,310,000	9,592,000	7,619,000	0	0	0	0	0
Other Federal Funds	917,000	1,132,000	542,000	921,000	957,000	1,143,000	1,198,000	1,378,000	0	0
INSTITUTIONAL SERVICES FUNDS	64,300,000	91,900,000	115,100,000	139,600,000	158,200,000	177,400,000	188,200,000	203,947,000	214,986,000	229,705,000
STATE FUNDS	45,940,000	43,292,000	56,305,000	72,583,000	89,978,000	99,690,000	71,191,000	83,298,000	106,015,000	103,496,000
General Funds	45,940,000	43,292,000	56,305,000	72,583,000	89,978,000	99,690,000	71,191,000	83,298,000	104,294,000	101,701,000
Other State Funds	0	0	0	0	0	0	0	0	1,721,000	1,795,000
FEDERAL FUNDS	18,360,000	48,608,000	58,795,000	67,017,000	68,222,000	77,710,000	117,009,000	120,649,000	108,971,000	126,209,000
Federal ICF/MR	18,360,000	48,608,000	58,795,000	67,017,000	68,222,000	77,710,000	117,009,000	120,649,000	108,971,000	126,209,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	45,397,700	54,131,700	67,450,300	82,923,300	100,633,700	104,344,000	121,244,000	133,197,000	154,865,000	183,787,000
COMMUNITY SERVICES FUNDS	28,945,700	35,826,700	47,073,300	59,556,300	72,334,700	72,481,000	87,392,000	96,315,000	110,195,000	137,023,000
STATE FUNDS	20,112,700	25,845,700	37,221,300	48,438,400	62,589,400	69,070,000	82,758,000	90,480,000	100,185,000	122,707,000
General Funds	15,300,000	20,900,000	32,100,000	43,228,100	58,041,700	67,013,000	80,698,000	88,526,000	98,118,000	120,681,000
SSI State Supplement	2,174,000	1,996,000	2,018,000	2,013,000	2,008,000	2,057,000	2,060,000	1,954,000	2,067,000	2,026,000
Other State Funds	2,638,700	2,949,700	3,103,300	3,197,300	2,539,700	0	0	0	0	0
FEDERAL FUNDS	8,833,000	9,981,000	9,852,000	11,117,900	9,745,300	3,411,000	4,634,000	5,835,000	10,010,000	14,316,000
ICF/MR Funds	0	0	0	154,900	569,300	1,168,000	1,786,000	2,557,000	3,910,000	6,016,000
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	154,900	569,300	1,168,000	1,786,000	2,557,000	3,910,000	6,016,000
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	450,000	600,000	1,100,000	1,650,000	1,900,000	6,100,000	8,300,000
Title XIX Day Programs	0	0	0	450,000	600,000	1,100,000	1,650,000	1,900,000	3,200,000	3,800,000
Waiver	0	0	0	0	0	0	0	0	2,900,000	4,500,000
Title XX / SSBG Funds	7,916,000	8,849,000	9,310,000	9,592,000	7,619,000	0	0	0	0	0
Other Federal Funds	917,000	1,132,000	542,000	921,000	957,000	1,143,000	1,198,000	1,378,000	0	0
FEDERAL INCOME MAINTENANCE	16,452,000	18,305,000	20,377,000	23,367,000	28,299,000	31,863,000	33,852,000	36,882,000	44,670,000	46,764,000
Suppl. Security Income (SSI)	9,490,000	10,569,000	11,356,000	12,654,000	14,846,000	16,891,000	17,686,000	20,174,000	25,975,000	27,250,000
Childhood Disability (SSDI)	6,962,000	7,736,000	9,021,000	10,713,000	13,453,000	14,972,000	16,166,000	16,708,000	18,695,000	19,514,000
F.F.P. Rate	50.00%	51.22%	51.62%	51.72%	51.75%	53.11%	53.56%	50.99%	50.13%	50.13%
Daily Institutional Population	5,229	4,930	4,828	4,557	4,414	4,124	3,907	3,765	3,665	3,570
Institutional Per Diem	33.69	51.07	65.32	83.70	98.19	117.85	131.97	148.00	160.71	176.28

MICHIGAN

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Developmental Disabilities services are located under the Office of Program Development and Support Systems, which is in the Department of Mental Health.

Budget Format. The Governor's Executive Budget did not present expenditure data. Therefore, we utilized the annual Appropriations bills for DMH, and the Supplemental Appropriations bills, as our basic source documents for expenditures. All figures were based on actual appropriations, adjusted for supplemental appropriations. However, figures were not adjusted to include Departmental reductions contained in Executive Orders issued in FYs 1980-83. According to J. Morris Hickman, Director of the DMH Budget Allocation Control Division (p.c., telephone, 8/25/83), these reductions were distributed across all accounts and probably amounted to less than 5% in any one account.

The Department of Mental Health Appropriations Bill included the following sections pertinent to DD Community and Institutional services funding:

Department of Mental Health
- Executive Program
- Developmental Disabilities
- Special Projects
- Community Mental Health Program
- Residential Services
- Residential Services Support
- Institutional Services
- Oakland Medical Center (FYs 1977-79 only)
- Central Account-Centers for DD
- Discretionary Fund
- Separate listing for each institution
- ICF/MR
- Inpatient Care and Alternative Programs
- Reduction Adjustment

Note on Data Sources. Many of the program elements listed above, such as "Institutional Services" and "Residential Services," combined appropriations for MH and DD purposes. To determine expenditures, DMH officials had to be consulted. The Appropriations bills however, provided considerable detail on sources of funding, such as:

- State General Fund/General Purpose
- Recipient Fees and Third-Party Reimbursements
- Departmental Discretionary Funds
- Lease/rental revenue

Gifts and bequests
- **Federal Revenues**
  - **HHS-HCFA,** Medical Assistance Program (Title XIX)
  - **Intermediate** Care Facilities for the Mentally Retarded
  - **DAG-FNS,** National School Lunch Program
  - DED-OESE (ESEA, Title I).

Our data did not reflect funds for central state administration, nor did they include the 10% local county matching figures.

The FYs 1977-83 census for institutions was obtained from Mark Kielhorn, DMH Bureau for DD centers (p.c., telephone, 6/5/83); the FYs 1984-86 figures were obtained from Enrolled Senate Bill No. 642.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included funding for:

(1) 12 state DD Centers;

(2) 30% of the expenditures under "Institutional Services" in the budget, which was the central account for both Mental Health and DD institutions for such things as equipment and travel;

(3) Sixty percent of the "Reduction Adjustment" and "Discretionary Fund" lines in the Budget which were established in FY 1983 to meet state cutbacks;

(4) "Special Dual Program Services" which was a program on institutional grounds for clients who were both mentally ill and developmentally disabled;

(5) "Central Accounts-Centers for DD" which contained the federal revenue for the school lunch program plus state revenue for food, drugs, fuel, etc. for all DD institutions;

(6) "ICF/MR" account which contained the federal Title XIX funds for ICFs/MR;

(7) "Discretionary Fund for Facilities for MR" which was all general fund monies allocated by the DMH Director to meet ICF or court-ordered standards (this Fund appeared only in FY 1979); and

(8) "Special Programs/Behavior Intervention" which consisted of two programs, in FY 1980 only, at existing state facilities, to treat severely retarded adults and children who exhibited aggressive behavior.

The source for the percentage estimates in (2) and (3) was Hickman (p.c., telephone, 8/25/83). FYs 1977-84 figures were revised by Hickman (p.c., telephone, 2/24/84).

Institutional expenditures included $64 million in federal Title XIX funds for capital construction and renovation of state institutions which took place largely between 1977 and 1980. Hickman's estimates were:

Fiscal Year	($ in thousands)
1977	$ 6,443
1978	16,000
1979	20,778
1980	20,778

These Federal funds (which were not within in the Appropriations Bill line items included in this analysis) were carried with the Federal ICF/MR line to facilitate comparability with other states which did include federal Title XIX capital funds.

Michigan funded 12 "Regional Centers" (state institutions) during the period of our analysis:

Alpine-closed in 1981
Caro Regional MH Center - Developmental Services Unit
Coldwater
Hillcrest-closed in 1982
Joseph Snyder/Macomb-Oakland
Mount Pleasant
Muskegon
Newberry
Northville-closed in 1983
Oakdale
Plymouth-closed June, 1984
Southgate

Other State Funds included: (1) small amounts of local county revenue appearing in several state facility budgets as they were presented in the Appropriations Bills in FY 1977 and 1978 only--they did not appear after FY 1978; and (2) funds appearing under "Institutional Services" in the Budget where they were referred to as "lease/rental, gifts, school aid fund, etc." from FYs 1980 to 1986. This source of funds was not reported prior to FY 1980. The increase in FY 1983 was due to increased collections from Blue Cross/Blue Shield for insured members.

Federal ICF/MR. The Federal share of ICF/MR funds was reported as a line item in the DMH budget but funds for both institutional and community facilities were combined into one figure in FYs 1977-81. A breakout of community and institutional portions of the XIX funds was provided by Hickman (p.c., telephone, 11/3/83). The figures were all estimated amounts by Hickman based on DMH expenditure reports. FYs 1982-86 ICF/MR funds were taken from the revenue line, "IDG from department of social services-HHS-HCFA, Title XIX," under the Intermediate Care Facilities for the MR, section of the Appropriation bills.

Other Federal Funds included "staffing grants" at several facilities in FY 1977 and 1978, the federal school lunch program carried in the "Central Accounts - DD Centers" line, "ESEA, Title I" funds appearing under "Institutional Services," and DAGFNS, National school lunch program, which was shown in the Central-Account Centers for the Developmentally Disabled section in FY 1985, and in the Reduction Adjustment section in FY 1986. The increase in the federal funds in FY 1983 was due to the appearance of the "Reduction Adjustment and Discretionary Fund" line which represented extra Medicaid collections due for residents. These were used to offset overall state general fund budget cutbacks.

III. COMMUNITY SERVICES FUNDS

Community Services was budgeted under four program lines in the DMH budget: "Community Mental Health Programs," "Residential Services" (formerly called "Community Placement"), "Residential Services Support" (which included case management staff, home recruitment cost, and related community services) and relevant DD lines under "Special Projects" (which included dental programs, the foster grandparent program, and the adoptive placement project). All four accounts funded both mentally ill and developmentally disabled clients. Expenditures for both client groups were combined into one figure in the state appropriation bill. Hickman (p.c., telephone, 11/3/83) advised estimating the FYs 1977-84 DD portion of community programs based on the assumptions that: (1) the DD portion of "CMH Programs" gradually increased by the following percentages:

Fiscal Year

1977 - 15%
1978 - 15%
1979 - 15%
1980 - 24%
1981 - 24%
1982 - 33%
1983 - 33%
1984 - 34%

(2) The DD portion of "Residential Services" and "Residential Services and Support" gradually increased as follows:

Fiscal Year

1977 - 50%
1978 - 52%
1979 - 46%
1980 - 50%
1981 - 73%
1982 - 73%
1983 - 73%
1984 - 74%

The Director of Community Residential Services for DMH, Ben Censoni, concurred with Hickman's estimates (p.c., telephone, 11/9/83). The community services figures were estimates based on adjusted appropriations figures.

The FYs 85-86 estimates were reconstructed from specific funding lines within each of these appropriation categories (and where appropriate, the proportions of each line relevant to DD). Identification of DD funding lines and proportions was provided by J. Morris Hickman (p.c., correspondence, 2/13/86).

The large increase in Community expenditures between FY 1980 and FY 1981, according to Hickman (p.c., telephone, 8/30/84), was primarily the rapid expansion of community residential facilities. Rate increases accounted for only 5-10% of the increase. The expansion continued in subsequent years.

Community programs in Michigan were run by 55 local (County) Community Mental Health Boards. The Boards provided a 10% match for all state expenditures for DD and mentally ill clients in their counties. Starting in FY 1981 the state began shifting responsibility for the direct delivery of all mental health and DD services to the community mental health boards, as they demonstrated the willingness and capacity to deliver such services. Some counties had contractual purchase of service arrangements with the state under which funds appropriated for the operation of the state facilities flowed through county treasuries.

Such counties were termed "Full Management Boards." The state transferred to the county a lump sum amount which represented the cost in the previous year of serving all clients. The county then became responsible for the clients. The intent was to encourage deinstitutionalization. If a county moved clients out of institutions into less expensive community ICFs/MR, then the County Board kept the savings. If a County Board moved clients out of state ICF/MR institutions into non-ICF/MR community residences, which cost the county more because there were no federal funds paying 50% of the cost, then the state made up the difference so that there was no cost disincentive to the county for moving clients out of institutions. Twenty-two of the 55 county boards were Full Management Boards in FY 1986.

Private ICF/MR Small. Federal ICFMR funding was represented by the ICF-MR-Alternative Intermediate Services (AIS) home appropriations. AIS funding from FY 1979 though FY 1986 was classified into the "small ICF/MR" category (15-beds or less). The AIS alternative was the major outlet for the institutional depopulation effort. Michigan has added approximately 250-300 AIS beds per year.

Title XIX Day Program funding was represented by the estimated federal Title XIX portion of Personal Care expenditures. Estimated state share of Personal Care funding was included under General Revenue funds.

Myrna Goss, Department of Management and Budget (p.c., telephone, 6/12/84) and Morris Hickman (p.c., correspondence, 2/13/86) provided estimates of Personal Care expenditures for developmentally disabled clients. Personal Care Services qualified for Medicaid reimbursement. Generally speaking, they covered part of the costs at community residences for staff who helped residents with their personal care, such as directing them to take their medication. The following were estimates of the DD portion of personal care funds:

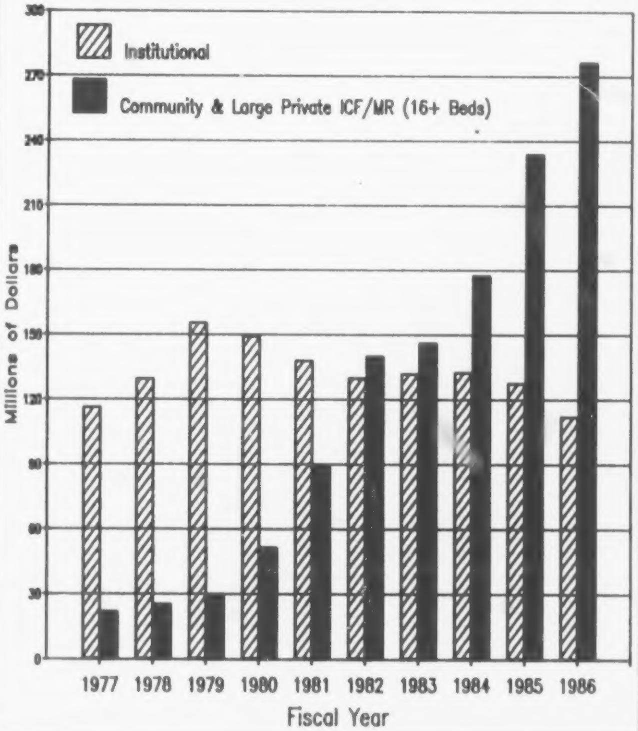
Fiscal Year	Total All Clients	DD portion-General Fund	DD portion-Federal XIX
1981	$ 1,895,400	$ 521,250	$ 426,450
1982	8,050,300	2,213,850	1,811,300
1983	7,150,900	1,928,000	1,647,450
1984	8,300,000	2,300,000	1,850,000
1985	9,838,000	5,897,900	3,940,100
1986	12,080,000	7,242,000	4,838,000

Title XX Waiver funding, referred to as, "clinical services," was estimated to be $9 million in FYs 1983-84, and $6 million in both FYs 1985 and 1986 by Hickman (p.c., correspondence, 2/1/86). These funds primarily supported day care and outpatient services.

Federal Title XX/SSBG. Community Mental Health Centers expended very little Title XX funds, according to Lou LaFollette, Department of Management and Budget (p.c., telephone, 10/17/83). The Department of Social Services was responsible for developing the State Title XX Plan.

MICHIGAN

MR/DD Expenditures for *Institutional* & *Community* Services



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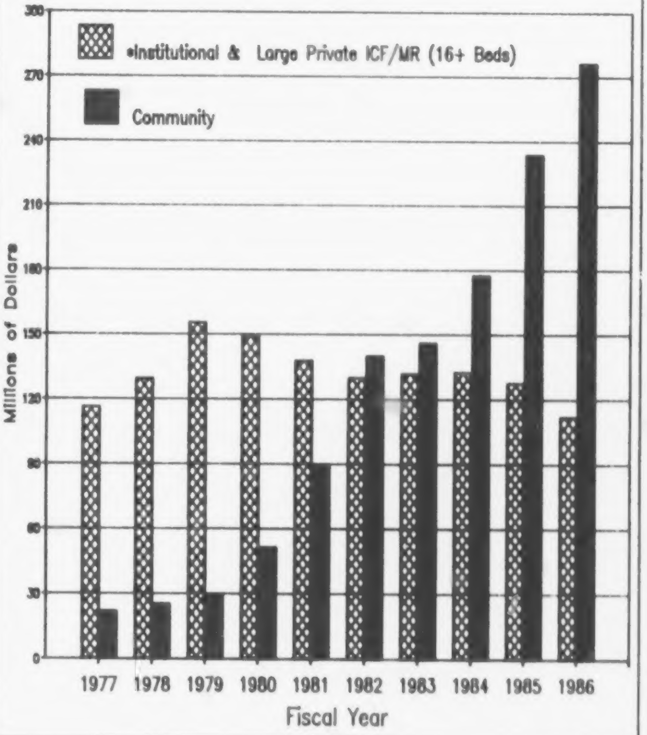
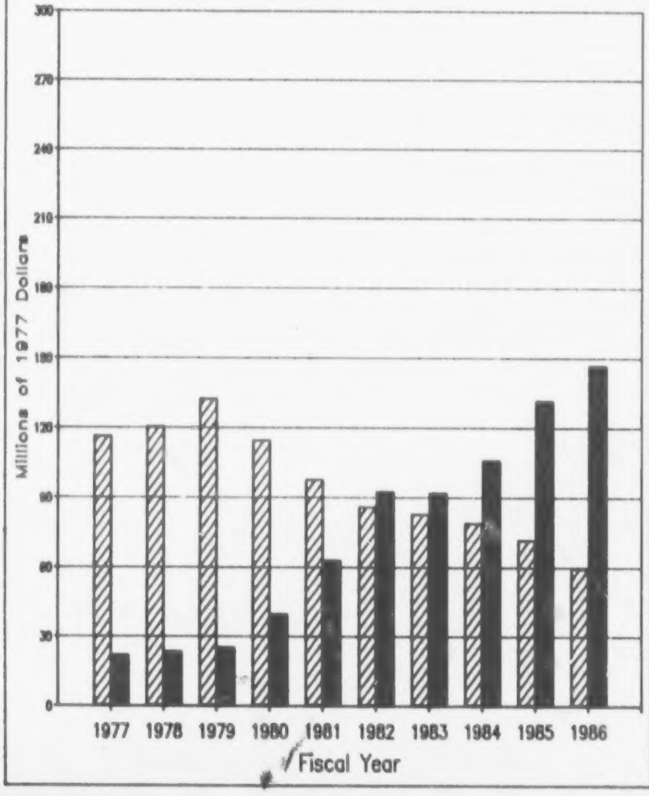


Adjusted for Inflation



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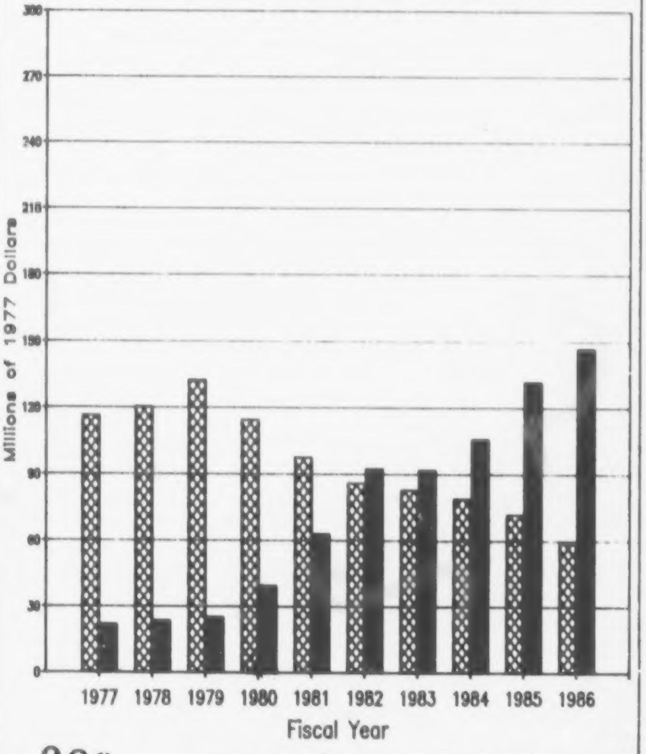
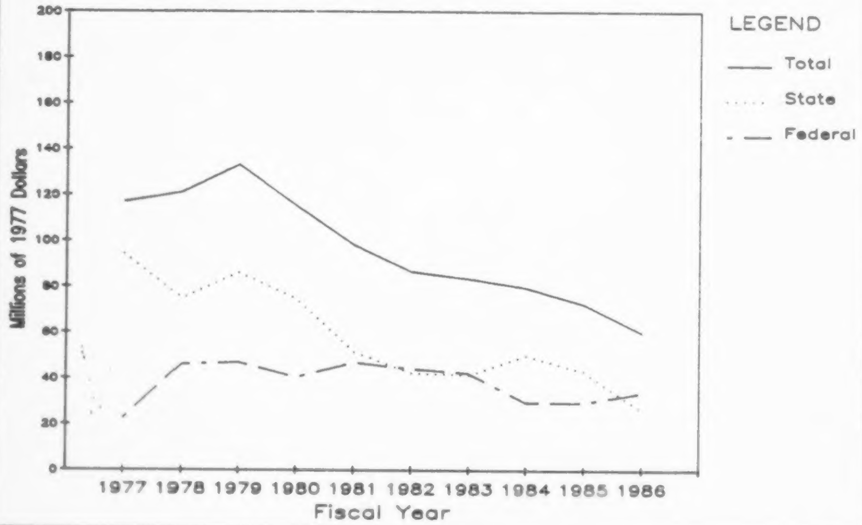


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

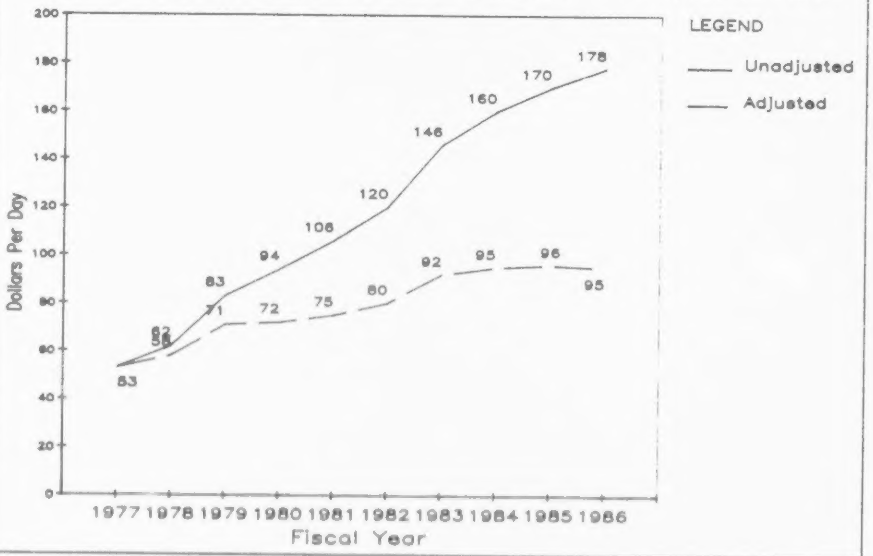
MICHIGAN

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

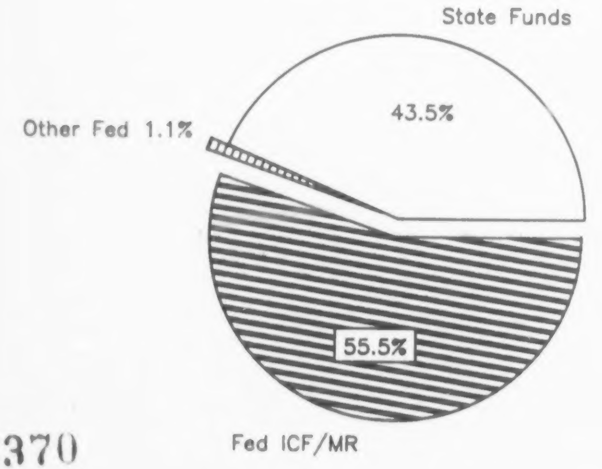


MICHIGAN

Institutional Per Diem Costs: FY 1977–86

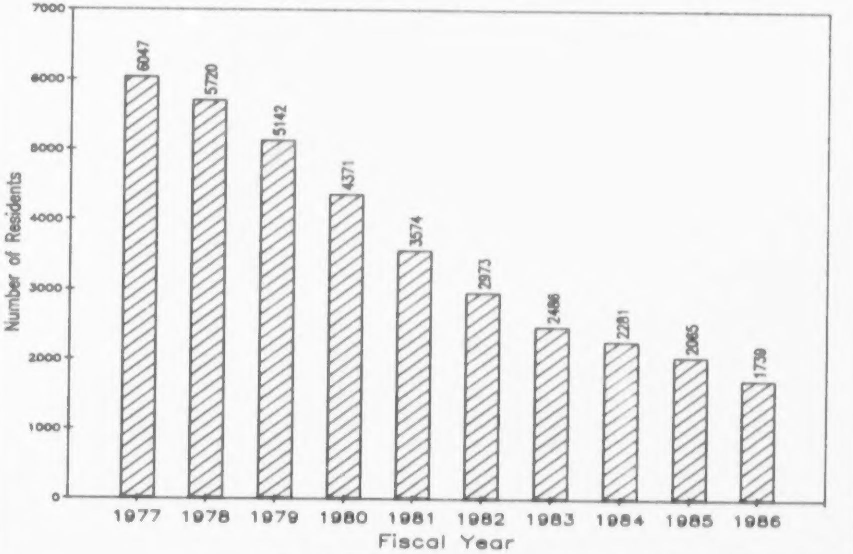


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $112.7 Million

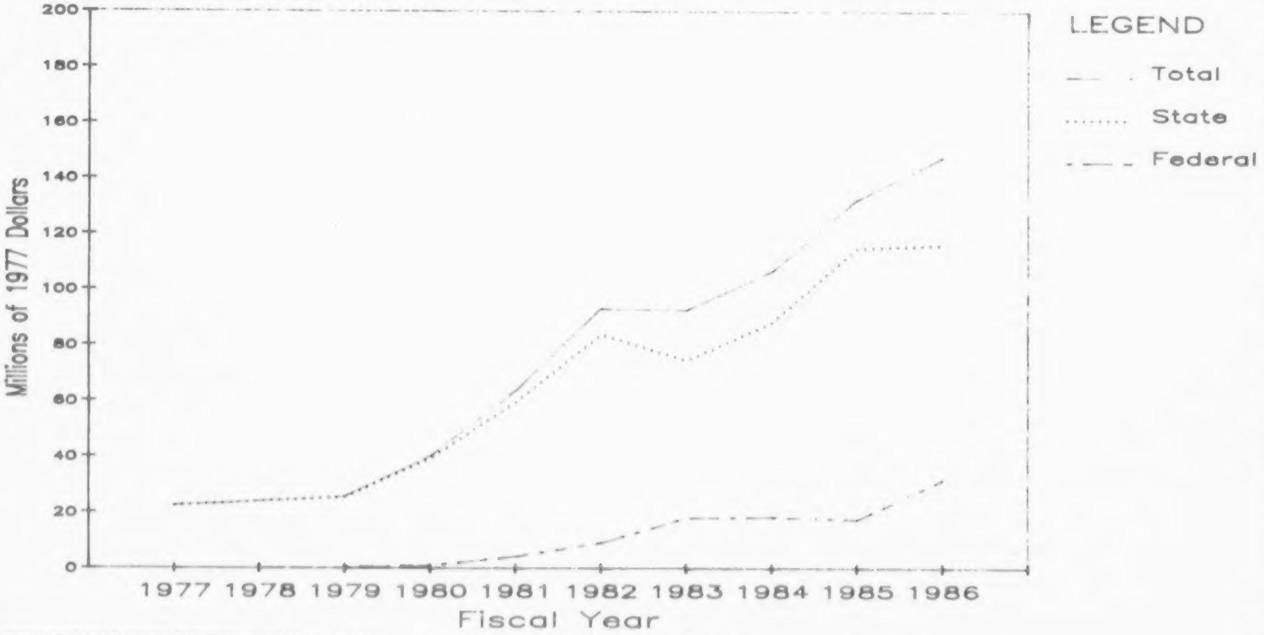
Average Daily Residents in Institutions



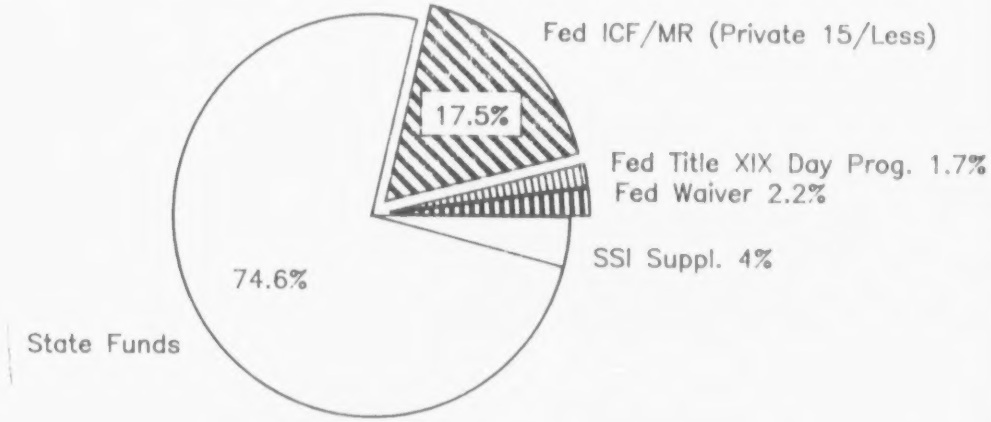
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MICHIGAN

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

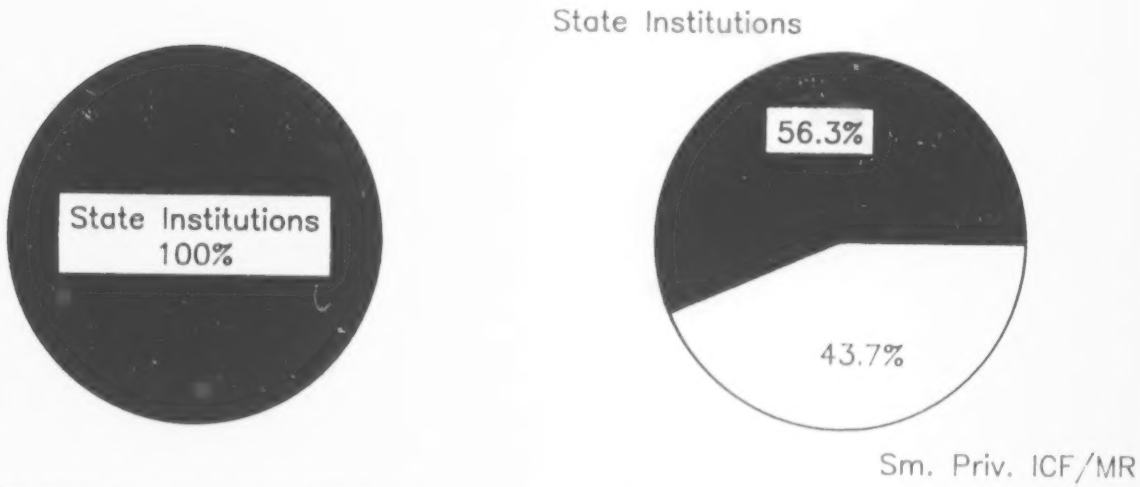


FY 1986 Total Funds: $276.8 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MICHIGAN

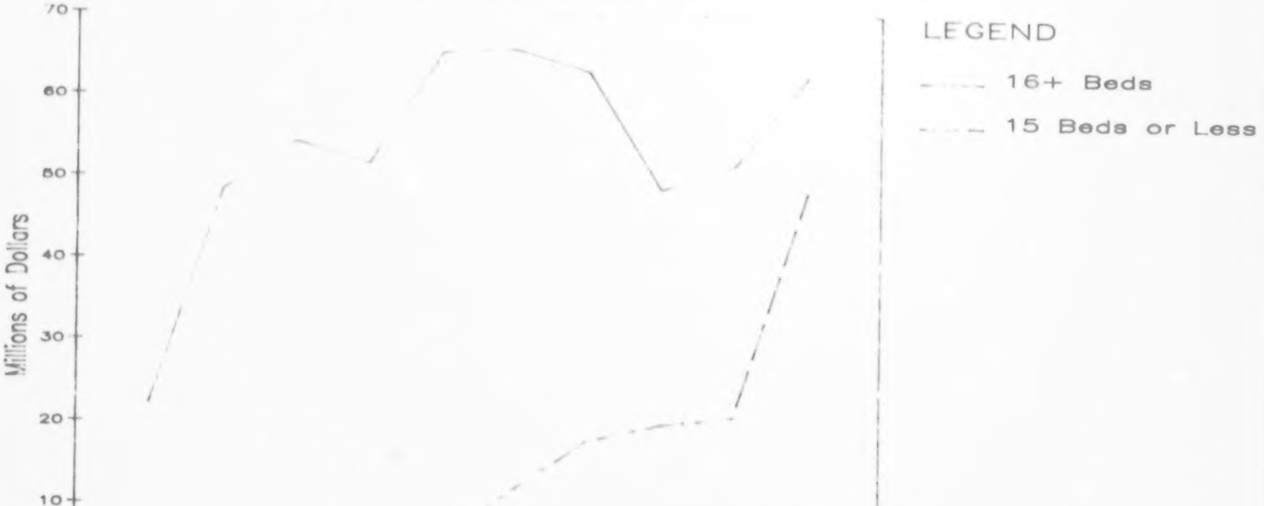
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



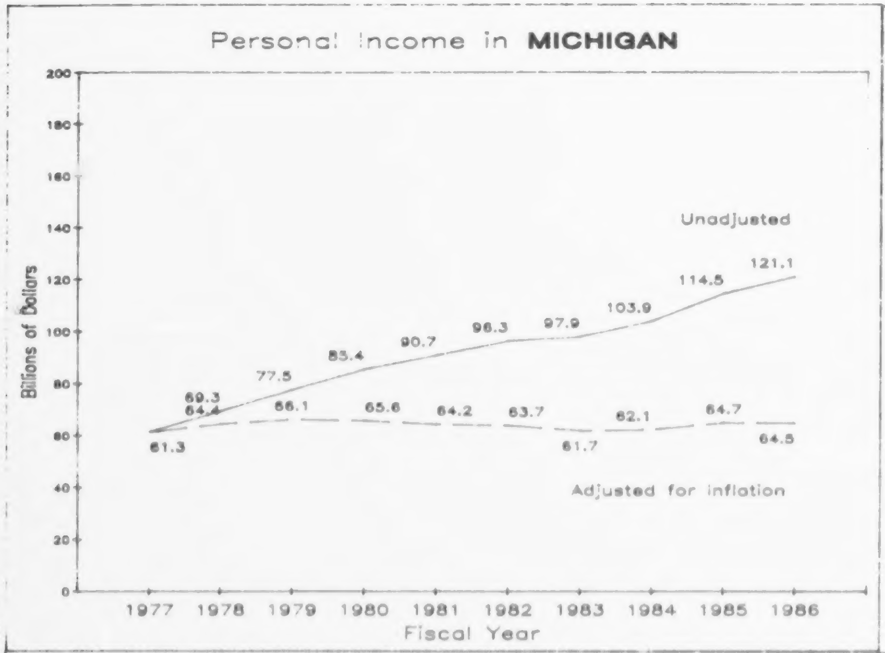
FY 1977 Total Federal Funds: $22.2 Million

FY 1986 Total Federal Funds: $110.9 Million

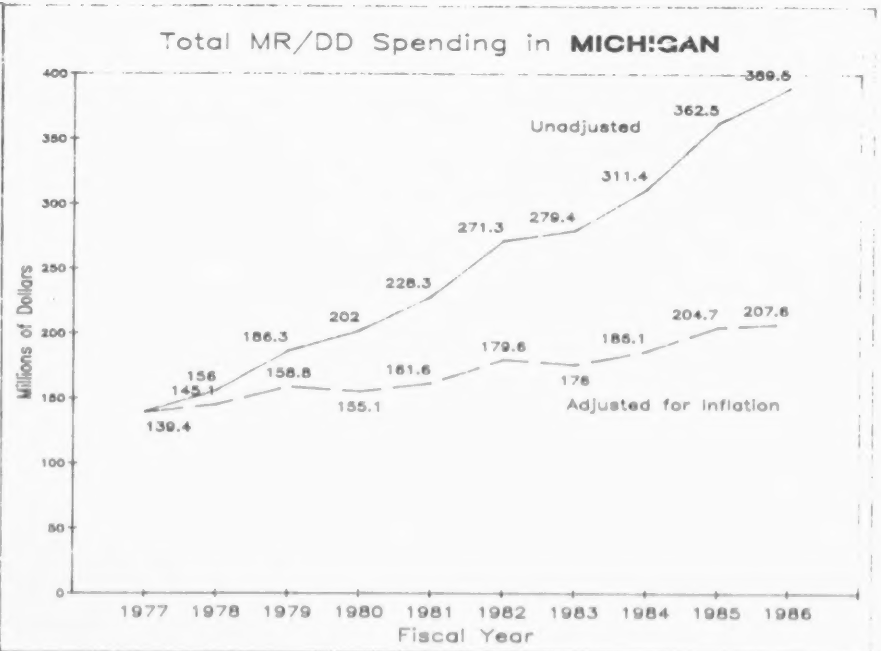
By Facility Size, FY 1977–86



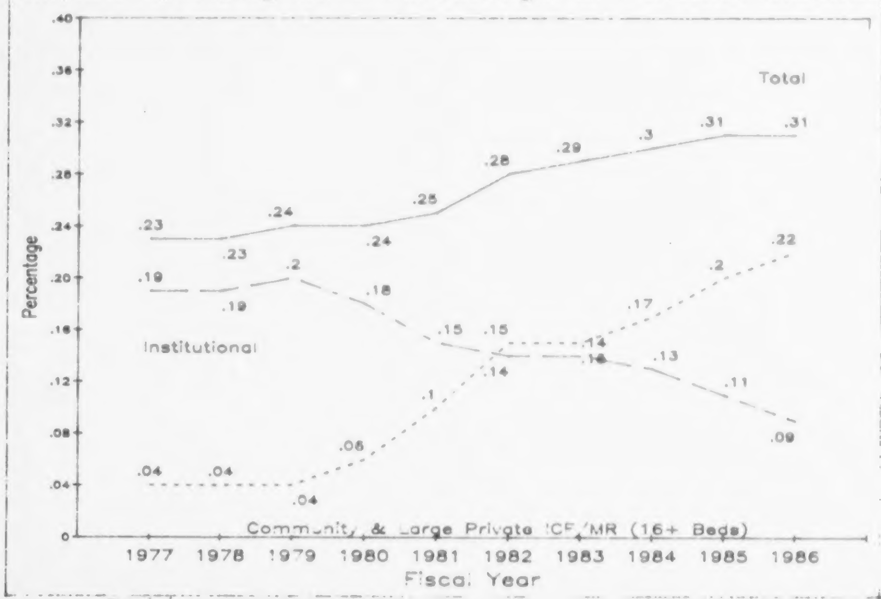
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



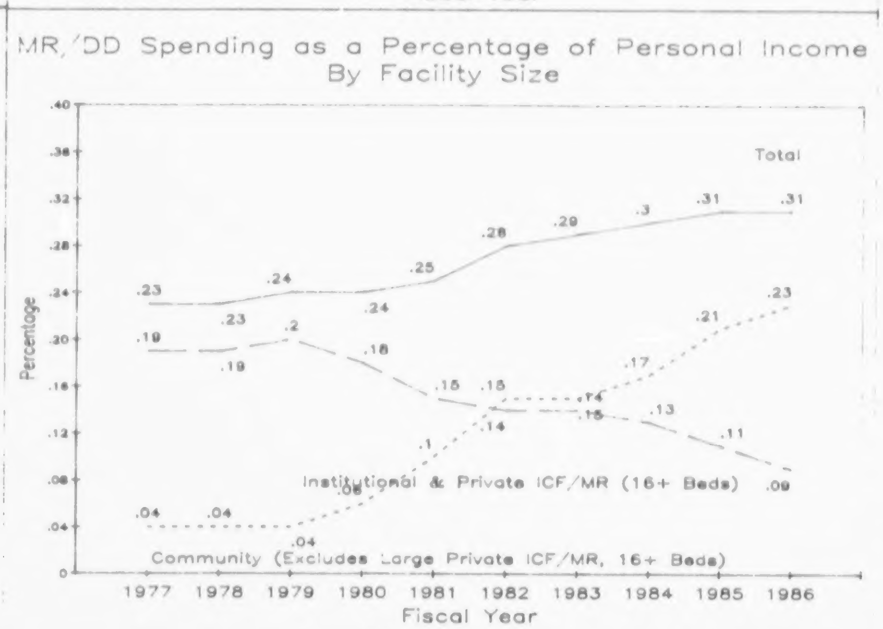
Personal Income in **MICHIGAN**



Total MR/DD Spending in **MICHIGAN**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MICHIGAN 9/4/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	185,727,000	206,424,000	242,500,000	266,133,000	307,497,800	361,236,200	376,842,500	388,921,000	478,923,900	520,844,200
TOTAL INSTITUTIONAL/COMMUNITY	139,373,000	156,019,000	186,347,000	201,995,000	228,295,800	271,255,200	279,380,500	311,441,000	362,515,900	389,539,200
STATE FUNDS	116,676,000	106,513,000	130,927,000	148,173,000	156,194,300	190,890,900	183,810,000	231,088,000	279,421,900	266,601,700
General Funds	108,566,000	96,612,000	119,138,000	136,140,000	145,288,300	180,288,900	172,903,000	219,298,000	267,534,800	254,119,600
SSI State Supplement	7,643,000	9,658,000	11,789,000	11,163,000	10,006,000	9,702,000	9,774,000	10,048,000	10,629,000	11,134,000
Other State Funds	467,000	243,000	0	870,000	900,000	900,000	1,133,000	1,742,000	1,258,100	1,348,100
FEDERAL FUNDS	22,697,000	49,506,000	55,420,000	53,822,000	72,101,500	80,364,300	95,570,500	80,353,000	83,094,000	122,937,500
Title XIX Funds	22,172,000	48,454,000	54,620,000	52,788,000	71,258,500	79,521,300	91,669,500	79,553,000	82,505,700	121,749,200
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	525,000	1,052,000	800,000	1,034,000	843,000	843,000	3,901,000	800,000	588,300	1,188,300
INSTITUTIONAL SERVICES FUNDS	116,950,000	130,214,000	156,222,000	149,946,000	138,632,000	130,605,000	132,557,000	133,243,000	128,197,900	112,719,800
STATE FUNDS	94,253,000	80,708,000	101,102,000	97,224,000	72,457,000	64,052,000	65,634,000	83,740,000	76,044,000	49,039,500
General Funds	93,786,000	80,465,000	101,102,000	96,354,000	71,557,000	63,152,000	64,501,000	81,998,000	74,785,900	47,691,400
Other State Funds	467,000	243,000	0	870,000	900,000	900,000	1,133,000	1,742,000	1,258,100	1,348,100
FEDERAL FUNDS	22,697,000	49,506,000	55,120,000	52,722,000	66,175,000	66,553,000	66,923,000	49,503,000	52,153,900	63,680,300
Federal ICF/MR	22,172,000	48,454,000	54,320,000	51,688,000	65,332,000	65,710,000	63,022,000	48,703,000	51,565,600	62,492,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	525,000	1,052,000	800,000	1,034,000	843,000	843,000	3,901,000	800,000	588,300	1,188,300
COMMUNITY WITH FEDERAL INCOME MAINT	68,777,000	76,210,000	86,278,000	116,187,000	168,865,800	230,631,200	244,285,500	255,678,000	350,726,000	408,124,400
COMMUNITY SERVICES FUNDS	22,423,000	25,805,000	30,125,000	52,049,000	89,663,800	140,650,200	146,823,500	178,198,000	234,318,000	276,819,400
STATE FUNDS	22,423,000	25,805,000	29,825,000	50,949,000	83,737,300	126,838,900	118,176,000	147,348,000	203,377,900	217,562,200
General Funds	14,780,000	16,147,000	18,036,000	39,786,000	73,731,300	117,136,900	108,402,000	137,300,000	192,748,900	206,428,200
SSI State Supplement	7,643,000	9,658,000	11,789,000	11,163,000	10,006,000	9,702,000	9,774,000	10,048,000	10,629,000	11,134,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	0	0	300,000	1,100,000	5,926,500	13,811,300	28,647,500	30,850,000	30,940,100	59,257,200
ICF/MR Funds	0	0	300,000	1,100,000	5,500,000	12,000,000	18,000,000	20,000,000	21,000,000	48,419,200
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	300,000	1,100,000	5,500,000	12,000,000	18,000,000	20,000,000	21,000,000	48,419,200
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	426,500	1,811,300	10,647,500	10,850,000	9,940,100	10,838,000
Title XIX Day Programs	0	0	0	0	426,500	1,811,300	1,647,500	1,850,000	3,940,100	4,838,000
Waiver	0	0	0	0	0	0	9,000,000	9,000,000	6,000,000	6,000,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	46,354,000	50,405,000	56,153,000	64,138,000	79,202,000	89,981,000	97,462,000	77,480,000	116,408,000	131,305,000
Suppl. Security Income (SSI)	26,617,000	28,471,000	30,578,000	33,766,000	41,060,000	47,533,000	51,630,000	30,110,000	71,592,000	75,981,000
Childhood Disability (SSDI)	19,737,000	21,934,000	25,575,000	30,372,000	38,142,000	42,448,000	45,832,000	47,370,000	44,816,000	55,324,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.53%	50.70%	56.79%
Daily Institutional Population	6,047	5,720	5,142	4,371	3,574	2,973	2,486	2,281	2,065	1,739
Institutional Per Diem	52.99	62.37	83.24	93.73	106.27	120.36	146.09	159.60	170.09	177.59

MINNESOTA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services for individuals with mental retardation and developmental disabilities in Minnesota are administered primarily by the Mental Health Bureau, which is in the Department of Public Welfare. The Bureau has a Division of Retardation which operates community services, and a Residential Facilities Division which operates institutional services (including state hospital services for the mentally ill and chemically dependent).

Budget Format. The revenue source categories presented in the Minnesota Biennium budget books were relatively constant FY 1977 through FY 1986:

General Fund
Special Revenue and Apportionment
(entitled "Revolving" FY 1978)
Agency
Gifts and Deposits
Federal

However, the presentation of institutional and community services program components was modified by the state over the period of our analysis:

- Department of Public Welfare
  - Mental Health Bureau
    - Mental Retardation Program Office
      - Developmental Achievement Center--DACs (FYs 1977-80 only)
        - General Fund
        - Federal (FYs 1977-78 only)
      - Semi-Independent Living Services--General Fund (FYs 1981-86 only)
      - MR Grant-in-Aid--General Fund (FYs 1977-80 only)
      - MR Family Subsidy (Aid to Individuals)--General Fund (FYs 1981-86 only)
      - Cambridge and Faribault State Hospitals--MR/DD (detailed FYs 1981-86 only)
        - Direct Appropriation: General
        - Dedicated Appropriation: Special Revenue/Apportionment
        - : Agency
        - : Gifts and Deposits
        - : Federal
      - Brainard, Fergus Falls, Moose Lake, St. Peter, Willmar and Rochester State Hospitals--MR/DD Share (detailed FYs 1981-86 only)
        - [same budget detail as Cambridge, Faribault]

State Hospital General Support (FYs 1977-80 only)
[same budget detail as above]
Total State Hospitals (FYs 1977-80: without
General Support)
[same budget detail as above]

Note on Data Sources. Minnesota Biennium Budget documents were reviewed for the FYs 1979-81, the FYs 1981-83, and the FYs 1983-85 Biennia. The budget books each provided two years of actual expenditures, so that "actual" figures were reviewed for FYs 1977-82, while the figures for FY 1983 were "estimated" and FY 1984 consisted of "Governor's Recommendations."

With average daily population figures in the budget books for each in-resident disability group, it was possible to utilize percentages to calculate the MR/DD share of the total state hospital expenditures for FYs 1981-84. The FYs 1977-80 figures were presented in the budget books with totals for the "residential services" expenses for MR/DD residents; however, "hospital general support" figures were provided only for the combined state hospital populations. Nevertheless, it was again possible to utilize the MR/DD percentage of average daily population to calculate the MR/DD share of hospital general support for FYs 1977-80, and to add these figures to the MR/DD residential services figures for each of those years.

Tom Sherwood, Institutions Budget Director, Financial Management Division, Bureau of Support Services, Department of Public Welfare (p.c., telephone, 10/11/83) provided corrections on FYs 1981-84 average daily population figures (adding in the 36 beds for the Minnesota Learning Center), and on expenditure figures for those years. In a 2/1/84 telephone interview with Bob Meyer, Budget Services, Division of Retardation, Bureau of Mental Health, additional modifications were made to Institutional Services expenditures:

> The inclusion of "County Share" for Federal ICF/MR--in the Institutional Services Other State Funds figures for FYs 1982-84.
>
> Increase of institutional services total expenditures for FY 1983 and FY 1984, reflecting modified accounting by the Department of Public Welfare for MR/DD cost share.
>
> Institutional services totals (and, proportionately, the fund sources) were then reduced (by $3.3 million in FY 1983 and by $3.488 million in FY 1984) to reflect building depreciation and interest costs associated with major rennovations, which our analysis excludes by definition.

Updated expenditure figures for the Cambridge and Faribault Regional Treatment Centers (formerly state hospitals), and for the MR/DD units at Brainard, Fergus Falls, Moose Lake, St. Peter and Willmar were provided in 3/28/86 correspondence from Thomas Sherwood, Financial Management Division, Department of Human Services. Sherwood supplied FY 1984 (actual), FY 1985 (actual) and FY 1986 (revised appropriation) figures for Cambridge and Faribault. In addition, he provided total direct costs for MR/DD units at the other facilities and the total general support costs at these other facilities. The correspondence indicated average daily population figures for the MR/DD units and for those multiple purpose facilities over-all.

Therefore, it was possible for us to use MR/DD population percentage to attribute a portion of the general support costs to the MR/DD units. For example, in FY 1986 total costs at Cambridge, Faribault were $53.6 million, which was added to total MR/DD direct costs at other facilities ($30.6 million) for a subtotal of $84.2 million. Then, the MR/DD population share of general support costs (@ 35.5%) was included ($12,086.5 thousand), for a total expenditure figure of $97,086.5 thousand.

Federal ICF/MR reimbursements for the MR/DD facilities were provided in 3/27/86 correspondence from Harley L. Will, Auditor, Reimbursement Division, Department of Human Services. The correspondence indicated Federal, state and county share for "MR Medical Assistance" for FYs 1970 through 1985. These ICF/MR figures included reimbursements for capital expenditures and for some central office expenses. Since our analysis sought to identify total institutional expenditures exclusive of capital and central administration, we utilized the Federal share and the county share (classified in our analysis as Other State Funds) figures from the Reimbursement Division correspondence, but maintained over-all expenditures at the level determined from the Financial Management Division correspondence. (Note: Since the Reimbursement Division correspondence provided prior years' figures, which were slightly higher than our FYs 1977-84 analysis figures, we adjusted FYs 1980-83 Federal ICF/MR and county share figures in the revised FYs 1977-86 analysis.)

Community services expenditure figures for FY 1985 (actual) were provided by Bob Meyer, MR Division, (p.c., correspondence, 2/10/86). Estimated expenditures for FY 1986 were provided in personal communication (B. Meyer, telephone, 3/26/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of support for the Cambridge and Faribault state hospitals, and the MR/DD portions at Brainard, Fergus Falls, Moose Lake, St. Peter, Willmar, and Rochester state hospitals. (Rochester State Hospital, which had roughly a 25% MR/DD population, closed May 1, 1982, with a residual physical plant expense in FY 1983).

State General Fund in our analysis was calculated based on budget lines from the Minnesota Biennium Budget books for each year or personal correspondence, and apportioned for MR/DD resident share. In addition, we offset the Federal ICF/MR revenue figures provided by H. Hill (p.c., correspondence, 3/27/86).

Other State Funds were reported in the budget documents as "Gifts and Deposits" (apportioned to reflect MR/DD average daily population share). FY 1982-84 figures included the county match to ICF/MR Federal funds, as noted above.

Other Federal Funds were reported in the budget books as "Federal" (or as apportioned to reflect MR/DD population share in the state hospitals.)

III. COMMUNITY SERVICES FUNDS

Community services consisted of the line items "MR GIA" (General Fund) in FYs 1977-80; the two lines "Semi-independent Living Services" and "MR Family Subsidy"in FYs 1981-86; the General Fund amounts for Developmental Achievement Centers (DAC's) in FYs 1977-80; the Federal and county match of the portion of Title XX purchase of services funds utilized for MR clients; and private ICFs/MR.

The components of FY 1986 community services spending were:

General Fund
Semi-independent living: $2,674.3 thousand
Family subsidy: $700.0
Private ICF/MR state share: $47,583.9
Title XIX Day Program state share: $7,214.7
Title XIX Waiver state share: $10,210.2
Social Service Block Grant: $3,789.0

TOTAL $68,797.8

Other State Funds
Semi-independent living, county share: $668.6
Private ICF/MR county share: $5,312.2
Title XIX Day Program county share: $805.4
Title XIX Waiver county share: $261.9
Social Service Block Grant, county share: $17,226.0

TOTAL $24,274.1

Federal Funds
Private ICF/MR Small: $35,130.0
Private ICF/MR Large: $25,000.0
Title XIX Day Program: $9,116.9
Title XIX Waiver: $3,038.7
Social Service Block Grant: $7,491.0

TOTAL $79,776.6

The Title XIX Day Program and Title XIX Waiver programs were initiated in FY 1985.

State General Fund. General Funds were reported in the Minnesota Biennium Budget books for "MR GIA" FYs 1977-80 and for "Semi- independent Living Service" and "MR Family Subsidy" for FYs 1981-86. In addition, General Funds expenditures for Developmental Achievement Centers (DAC's) were reported in the budget documents for FYs 1977-80, with a termination January 1, 1980, as the Community Social Services Act--CSSA--became effective, shifting state dollars to the counties for administration of social services. Correspondence (6/28/84) from Gary Leier, Department of Public Welfare, provided the second half of FY 1980 (January through June) and the FYs 1981-83 state appropriations for all the programs "folded in to CSSA." He utilized the DAC share (17%) of all social services transferred to CSSA for a base period (calendar year, 1978) to estimate figures for each year. We combined his second half of FY 1980 figure with the budget book's first half figure. We imputed the analysis FY 1983 figure, based on three quarters and estimated FY 1984 at the FY 1983 level.

Other State Funds reflected county match funds for Title XX purchase of services for MR/DD clients.

Private ICF/MR. Figures for FYs 1977-82 were provided by B. Meyer (p.c., telephone, 10/28/83). The FYs 1983-84 figures were obtained from the "Minnesota Income Maintenance Projections for the FY 1984-85 Biennium: Updated Forecast" (Minnesota Department of Public Welfare, January, 1983). Meyer noted that there were 330 private ICF/MR facilities--270 fifteen beds or less in size (average, eight beds).

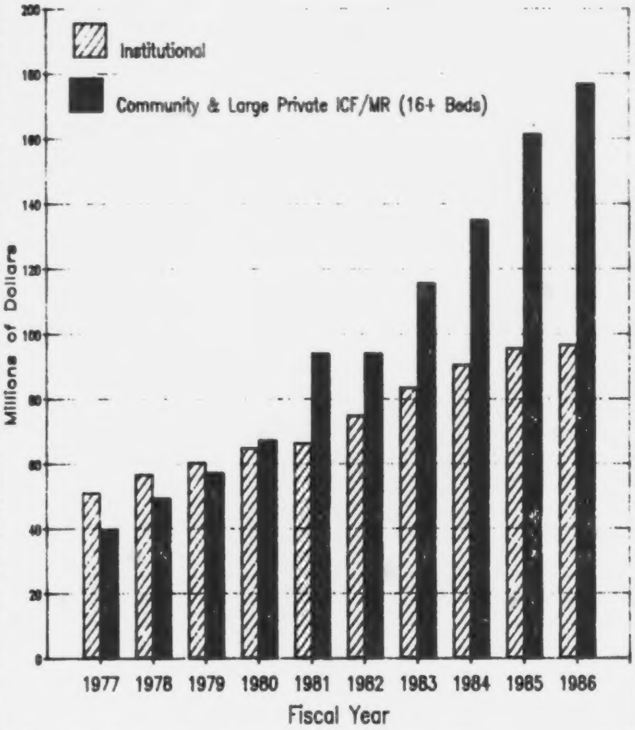
Updated correspondence from B. Meyer (4/10/86) listed the beds and per diem rates for 343 private ICFs/MR. We summed the daily costs for all facilities of fifteen beds or less, which represented 52.75% of all daily costs. We applied this percentage to the total expenditures each year in order to estimate expenditures for ICFs/MR Small. Then, percentages which had been obtained previously were utilized to break out Federal, state and county shares.

The 290 ICFs/MR of fifteen beds or less ranged in size from 6 beds to 15 beds, with an average of 9.46 beds per facility. The weighted average per diem was $61.69. The larger ICFs/MR ranged from 16 beds to 165 beds (5 facilities of one hundred beds or more). The average facility size was 43 beds, and the weighted average per diem was $67.01.

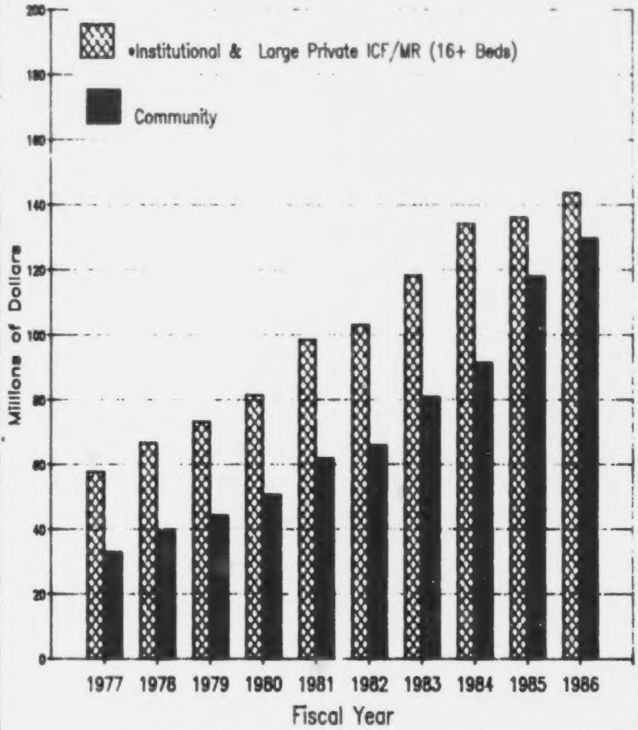
Federal Title XX/SSBG. As noted above, a line in the budget books called "Developmental Achievement Centers" was reported in FYs 1977-80 and then terminated. Gary Leier, County Financial Management Unit, Financial Management Division, Bureau of Support Services, Department of Public Welfare (p.c., correspondence, 10/24/83) provided the total Federal Title XX/SSBG figures "passed on to counties" for FYs 1977-83. He also provided total Purchase of Service costs in a sample year (FY 1982) for the three MR/DD programs: "Developmental Achievement Centers," "MR Guardianship," and "Residential Treatment - MR Children and Adults." Using these FY 1982 "base year" proportions, it was then possible to calculate the other years' figures for the MR/DD Title XX programs.

Other Federal Funds. For FY 1977 and FY 1978, this line consisted of revenues for the DAC's entitled "Federal Funds" in the budget books.

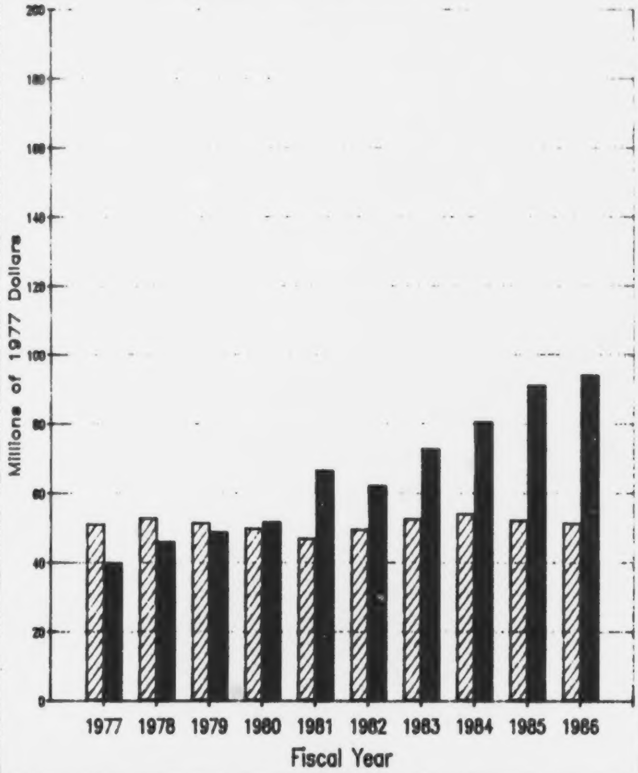
MR/DD Expenditures for *Institutional* & *Community* Services



MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



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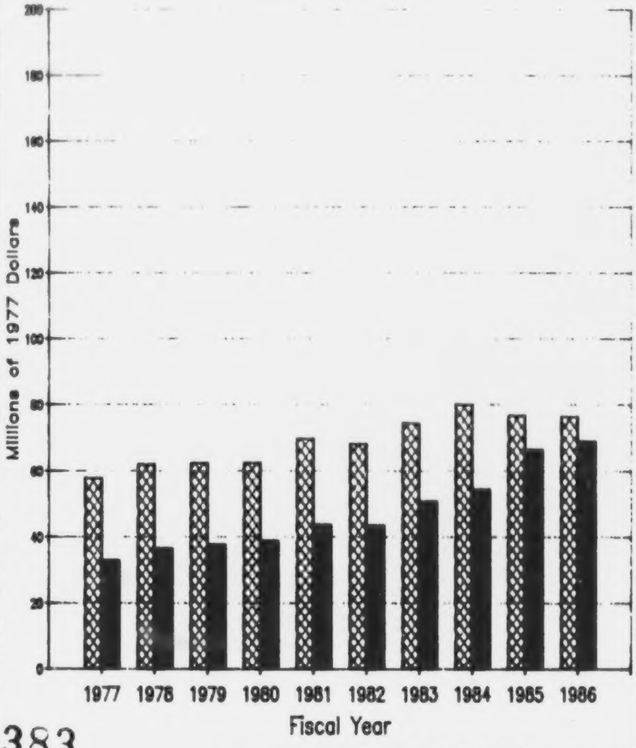
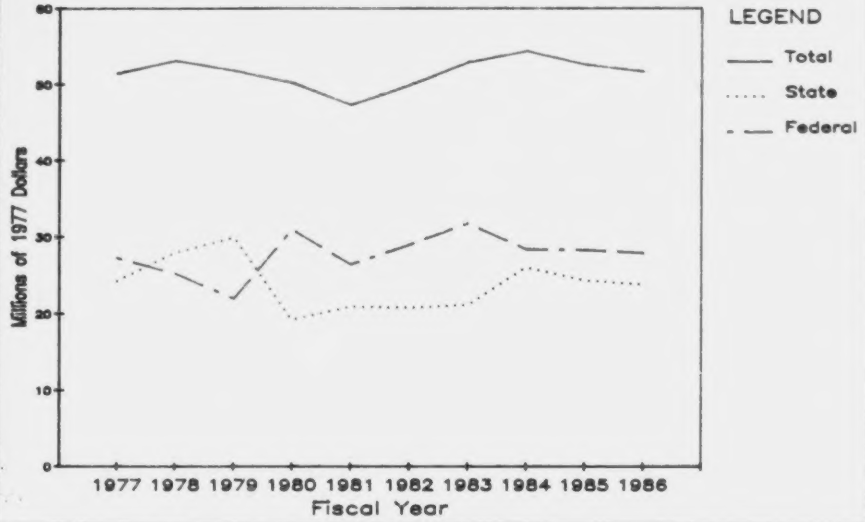


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

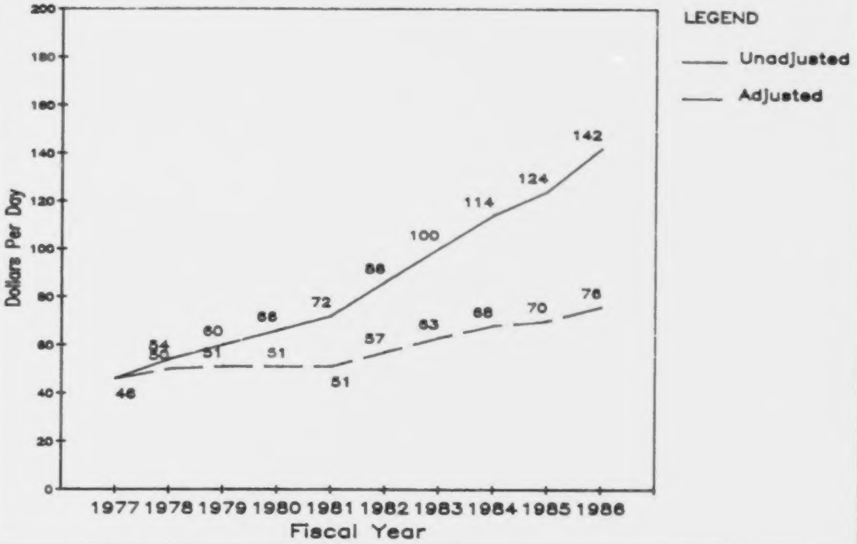
MINNESOTA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

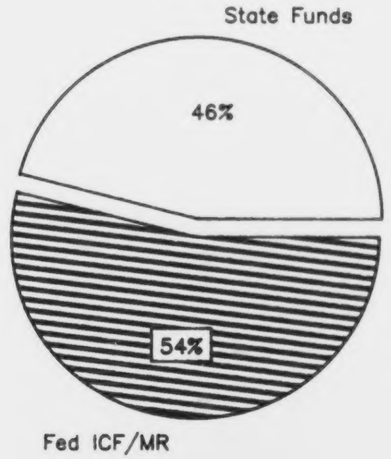


MINNESOTA

Institutional Per Diem Costs: FY 1977–86

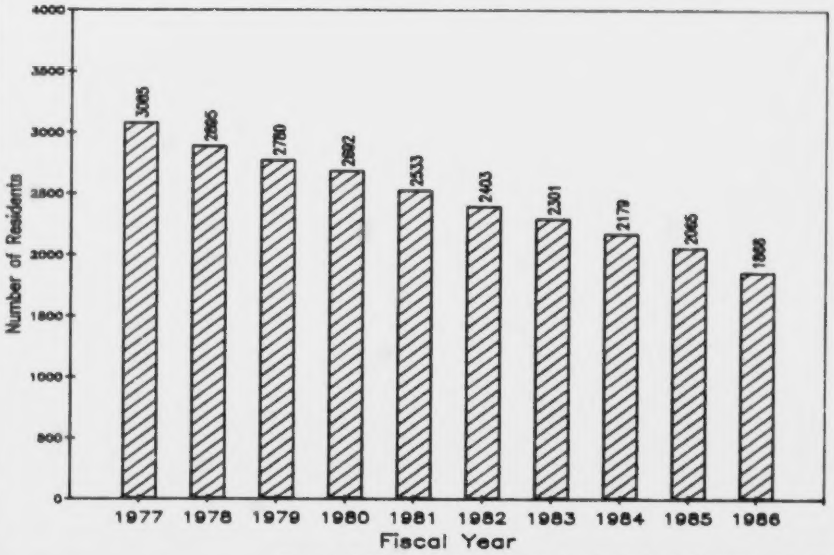


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $97.1 Million

Average Daily Residents in Institutions



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

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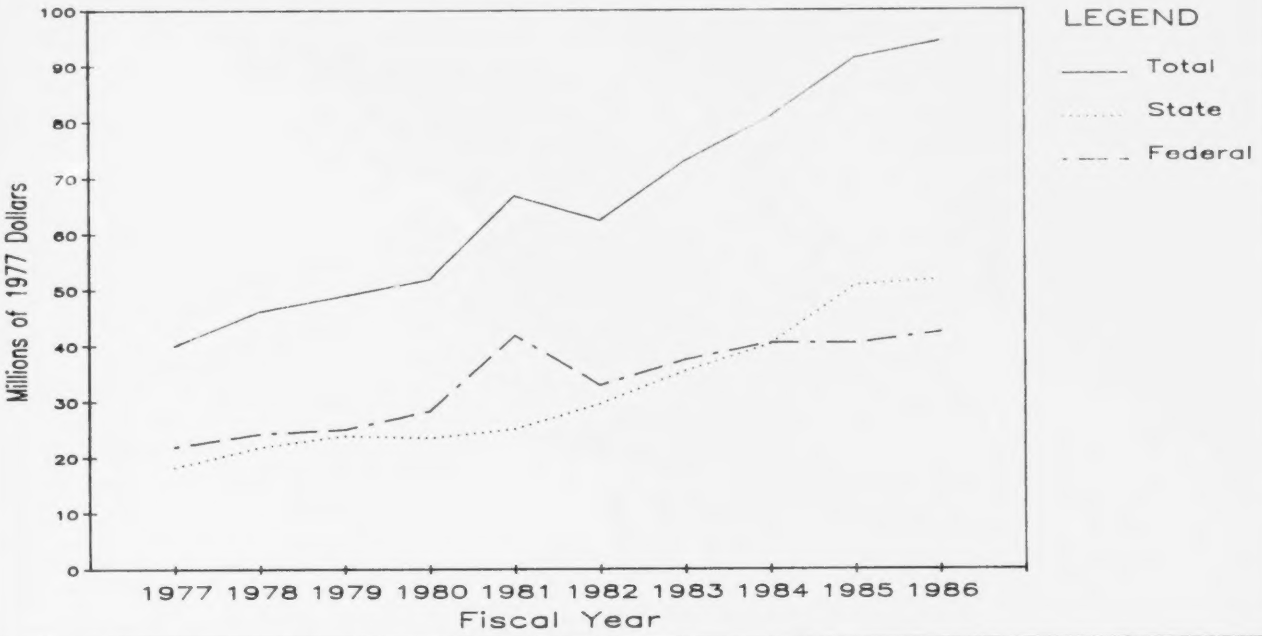
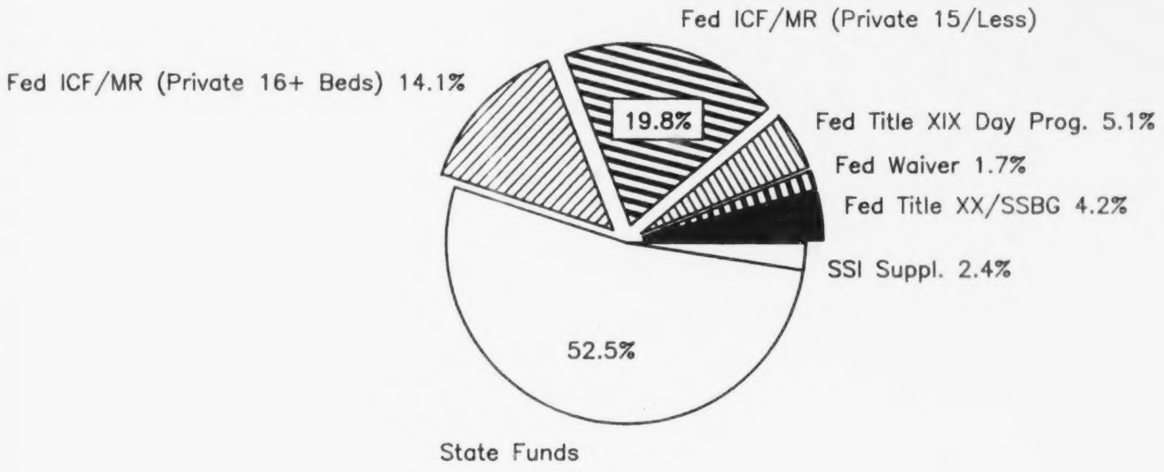
Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

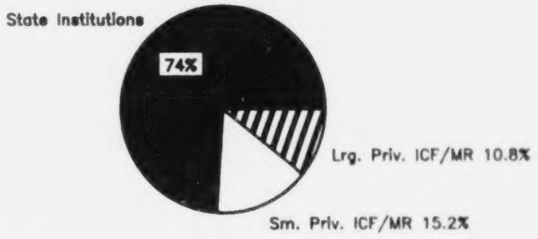


FY 1986 Total Funds: $177.1 Million

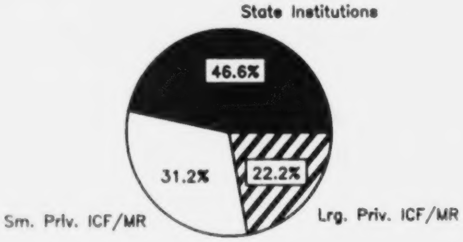
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MINNESOTA

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

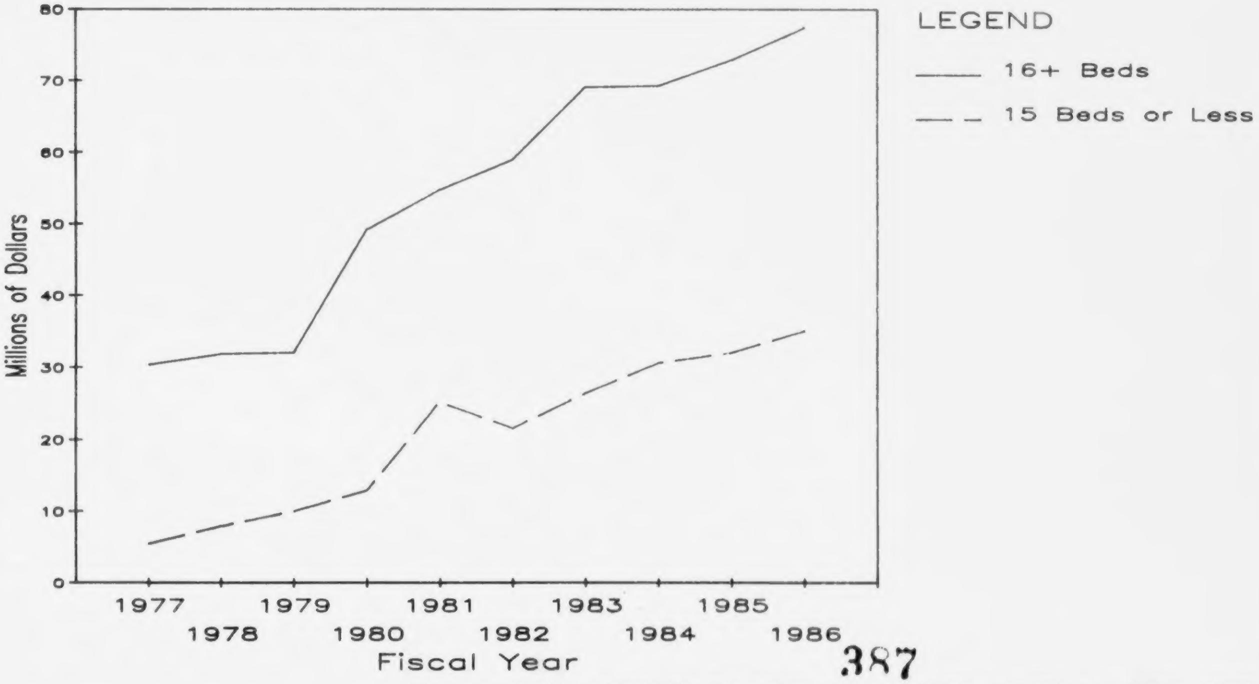


FY 1977 Total Federal Funds: $35.8 Million

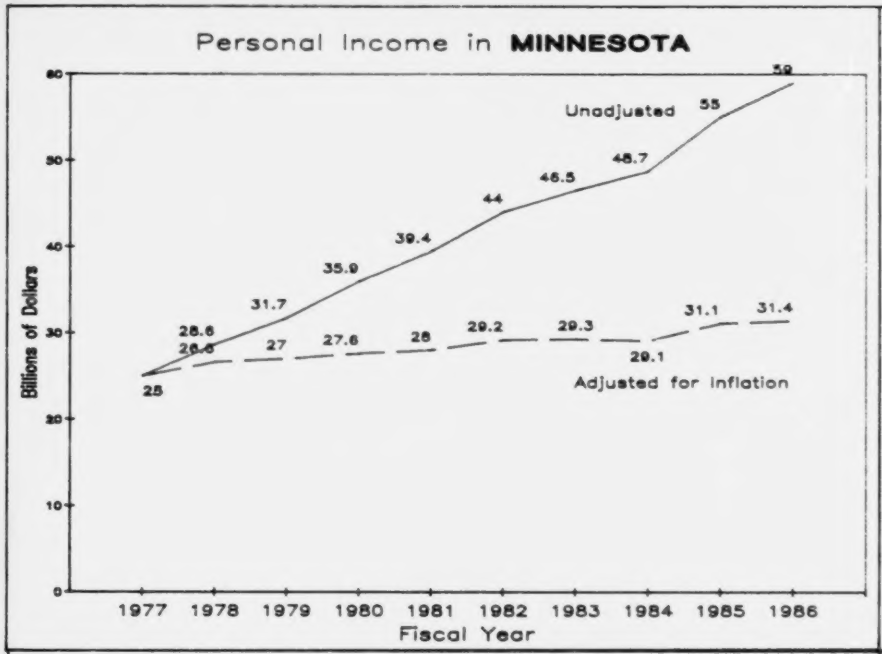


FY 1986 Total Federal Funds: $112.5 Million

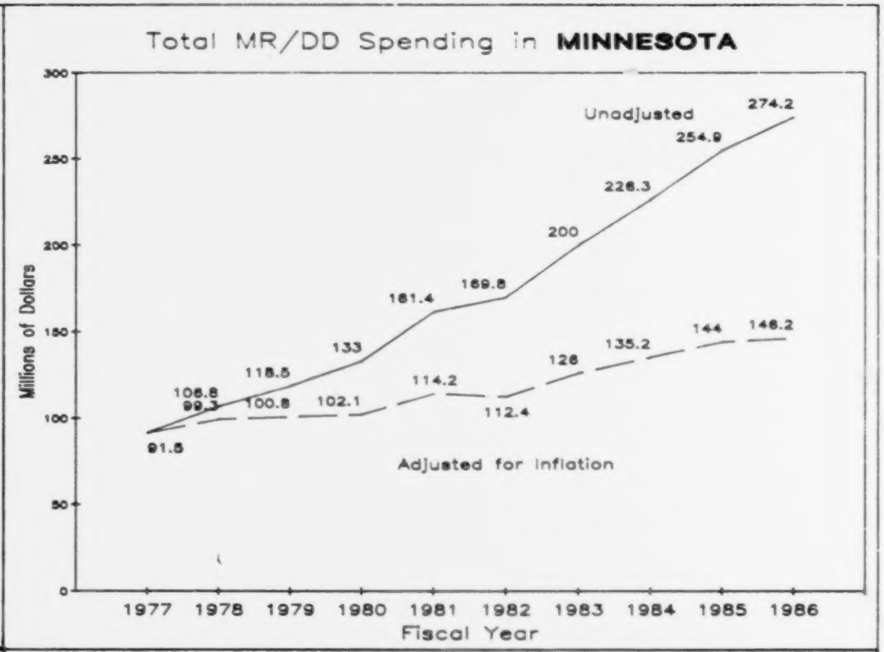
By Facility Size, FY 1977–86



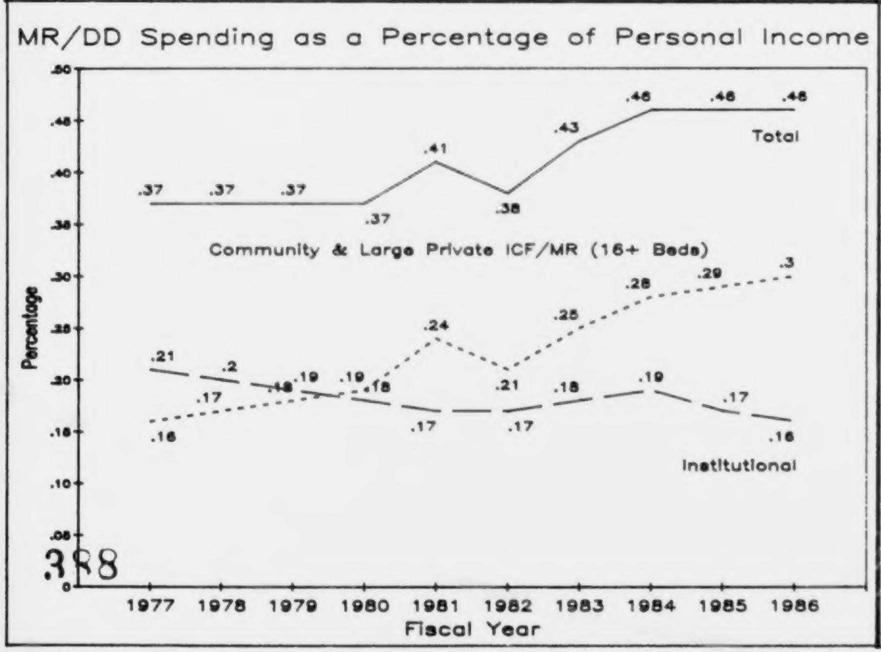
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



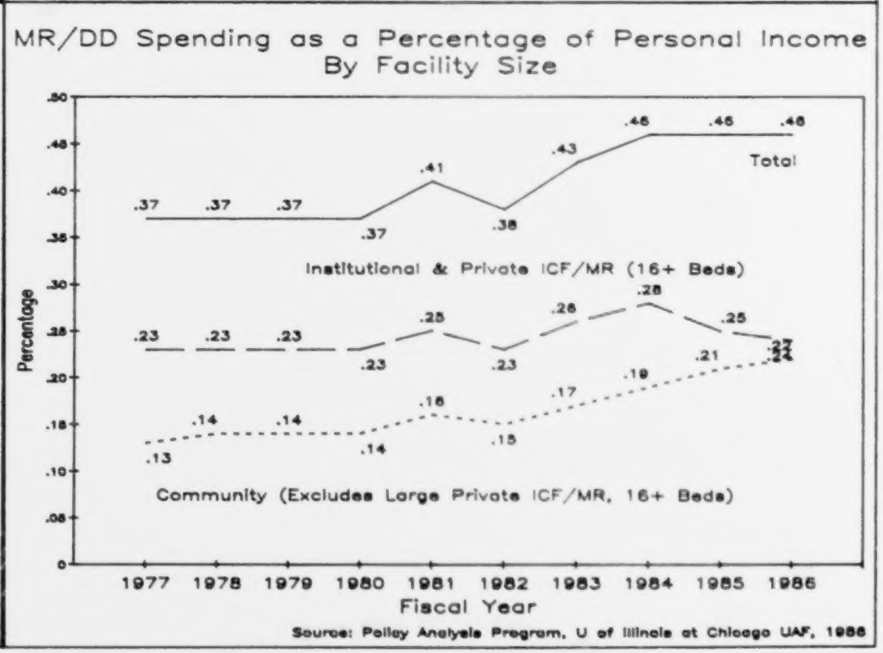
Personal Income in **MINNESOTA**



Total MR/DD Spending in **MINNESOTA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MINNESOTA 9/5/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	105,806,100	122,468,300	135,841,800	152,655,000	185,254,300	196,216,500	228,360,300	257,225,800	284,561,200	311,174,000
TOTAL INSTITUTIONAL/COMMUNITY	91,522,100	106,825,300	118,470,800	132,996,000	161,368,300	169,761,500	200,003,300	226,349,800	254,909,200	274,236,000
STATE FUNDS	42,415,700	53,566,500	63,241,800	55,637,500	64,973,000	76,114,300	90,009,400	110,887,600	133,234,800	142,060,000
General Funds	38,342,700	48,609,500	57,579,800	48,898,500	57,195,000	64,675,500	75,912,500	94,521,400	101,879,700	108,855,600
SSI State Supplement	1,049,000	1,569,000	1,952,000	2,183,000	2,516,000	2,648,000	2,942,000	3,048,000	3,224,000	4,301,000
Other State Funds	3,024,000	3,388,000	3,710,000	4,556,000	5,262,000	8,790,800	11,154,900	13,318,200	28,131,100	28,903,400
FEDERAL FUNDS	49,106,400	53,258,800	55,229,000	77,358,500	96,395,300	93,647,200	109,993,900	115,462,200	121,674,400	132,176,000
Title XIX Funds	35,809,000	39,762,000	42,138,000	62,077,500	80,001,300	80,591,200	95,646,900	99,981,200	114,183,400	124,685,000
Title XX / SSBG Funds	12,347,000	12,347,000	12,347,000	14,852,000	16,042,000	12,777,000	14,129,000	15,481,000	7,491,000	7,491,000
Other Federal Funds	950,400	1,149,800	744,000	429,000	352,000	279,000	218,000	0	0	0
INSTITUTIONAL SERVICES FUNDS	51,405,000	57,068,000	60,816,000	65,326,000	66,844,000	75,305,000	83,978,000	90,976,500	93,098,100	97,086,500
STATE FUNDS	24,247,000	29,962,000	35,093,000	24,910,500	29,562,700	31,466,800	33,528,100	43,498,300	43,072,600	44,687,100
General Funds	24,247,000	29,962,000	35,089,000	24,909,500	29,561,700	28,245,000	29,136,200	38,174,100	38,577,200	40,057,800
Other State Funds	0	0	4,000	1,000	1,000	3,221,800	4,391,900	5,324,200	4,495,400	4,629,300
FEDERAL FUNDS	27,158,000	27,106,000	25,723,000	40,415,500	37,281,300	43,838,200	50,449,900	47,478,200	50,025,500	52,399,400
Federal ICF/MR	26,485,000	26,305,000	24,979,000	39,986,500	36,929,300	43,559,200	50,231,900	47,478,200	50,025,500	52,399,400
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	673,000	801,000	744,000	429,000	352,000	279,000	218,000	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	54,401,100	65,400,300	75,025,800	87,329,000	118,410,300	120,911,500	144,382,300	166,249,300	191,463,100	214,087,500
COMMUNITY SERVICES FUNDS	40,117,100	49,757,300	57,654,800	67,670,000	94,524,300	94,456,500	116,025,300	135,373,300	161,811,100	177,149,500
STATE FUNDS	18,168,700	23,604,500	28,148,800	30,727,000	35,410,300	44,647,500	56,481,300	67,389,300	90,162,200	97,372,900
General Funds	14,095,700	18,647,500	22,490,800	23,989,000	27,633,300	36,430,500	46,776,300	56,347,300	63,302,500	68,797,800
SSI State Supplement	1,049,000	1,569,000	1,952,000	2,183,000	2,516,000	2,648,000	2,942,000	3,048,000	3,224,000	4,301,000
Other State Funds	3,024,000	3,388,000	3,706,000	4,555,000	5,261,000	5,569,000	6,763,000	7,994,000	23,635,700	24,274,100
FEDERAL FUNDS	21,948,400	26,152,800	29,506,000	36,943,000	59,114,000	49,809,000	59,544,000	67,984,000	71,648,900	79,776,600
ICF/MR Funds	9,324,000	13,457,000	17,159,000	22,091,000	43,072,000	37,032,000	45,415,000	52,503,000	54,978,000	60,130,000
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	5,447,000	7,862,000	10,024,000	12,906,000	25,163,000	21,634,000	26,531,000	30,672,000	32,118,000	35,130,000
Large Private	3,877,000	5,595,000	7,135,000	9,185,000	17,909,000	15,398,000	18,884,000	21,831,000	22,860,000	25,000,000
Other Title XIX Funds	0	0	0	0	0	0	0	0	9,179,900	12,155,600
Title XIX Day Programs	0	0	0	0	0	0	0	0	8,126,500	9,116,900
Waiver	0	0	0	0	0	0	0	0	1,053,400	3,038,700
Title XX / SSBG Funds	12,347,000	12,347,000	12,347,000	14,852,000	16,042,000	12,777,000	14,129,000	15,481,000	7,491,000	7,491,000
Other Federal Funds	277,400	348,800	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	14,284,000	15,643,000	17,371,000	19,659,000	23,886,000	26,455,000	28,357,000	30,876,000	29,652,000	36,938,000
Suppl. Security Income (SSI)	6,890,000	7,426,000	7,789,000	8,280,000	9,596,000	10,552,000	11,186,000	13,129,000	14,645,000	16,211,000
Childhood Disability (SSDI)	7,394,000	8,217,000	9,582,000	11,379,000	14,290,000	15,903,000	17,171,000	17,747,000	15,007,000	20,727,000
F.F.P. Rate	56.84%	55.66%	55.26%	55.55%	55.64%	54.70%	54.39%	50.08%	52.67%	53.20%
Daily Institutional Population	3,085	2,895	2,780	2,692	2,533	2,403	2,301	2,179	2,065	1,868
Institutional Per Diem	45.65	54.01	59.93	66.30	72.30	85.86	99.99	114.08	123.52	142.39

MISSISSIPPI

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. MR/DD services in Mississippi are coordinated by the Bureau of Mental Retardation within the cabinet-level Department of Mental Health.

Budget Format. MR/DD Community services funding was intermixed with mental health community funding in the executive budget. Institutional services, however, were presented separately for each state DD Center. MR/DD budget organization is illustrated below:

DEPARTMENT OF MENTAL HEALTH

Beginning Cash Balance
State Appropriations
Federal Funds
Inmate Fees
Medicaid
Collections
Special Funds
Less Ending Balance

Department of Mental Health Central Office
State Appropriations
Federal Funds
Other Funds
Less Ending Balance

Department of Mental Health Services--Community (FYs 1981-86 only)
State Appropriation
Block Grant
Title XX Funds

MR/DD Institutions (5 institutions, each listed separately)
Beginning Cash Balance
State Appropriation
Medicaid
Other Miscellaneous Funds (Private Pay, VA, etc.)
Less Ending Balance

Expenditure figures for FYs 1977-83 were obtained from the Mississippi budget documents. Average daily population figures were provided by Ray Wallace, Bureau of MR (p.c., telephone, 7/23/84).

Community services funding estimates were derived from two state sources. First, figures for Title XX/SSBG funds expended for MR purposes were obtained from the Mississippi Public Welfare Department (p.c., Jane Lee, Social Work Program Administrator, 10/4/83). Budget records of the Public Welfare Department were inspected for MR-relevant costs incurred by the agency. Secondly, only rough estimates could be obtained for community services state funds for years prior to FY 1981. Estimates for FYs 1977-80 were obtained from the State MR Program Director (p.c., telephone, Roger McMurtry, 9/29/83 and 9/20/83). McMurtry was also interviewed personally in Jackson, Mississippi (10/26/83). McMurtry estimated that approximately 1.5% of all institutional services funds budgeted was allocated for community services annually between FYs 1977-80. In FY 1981, the percentage estimate by McMurtry was 3.5%. One center, Hudspeth, allocated a much higher percentage of its budget for community services since FY 1981--approximately 12.5%.

Community expenditures from the institutional budgets have been enriched annually since FY 1982, with specific funds budgeted under the "Mental Health Services" line item in the Mississippi State Budget. McMurtry indicated that these MR/DD sums amounted to $250,000; $448,000; and $533,000 for FYs 1982-1984, respectively.

Institutional and community services expenditure figures for FY 1984 (actual), FY 1985 (actual), and FY 1986 (estimated expenditure based on appropriation) were provided by R. McMurtry (p.c., correspondence, 5/27/86). The correspondence included copies of the FY 1987 and FY 1986 Requests issued by the Legislative Budget Office (LBO), and itemized expenditures and fund sources for Ellisville State School (and Farm), Hudspeth Retardation Center, Northern Mississippi Retardation Center, and Southern Mississippi Retardation Center. The analysis category General Fund consisted of funds reported as "state appropriations," while Other Federal Funds consisted of social security, V.A. and railroad retirement and Federal school lunch funds.

We obtained Federal ICF/MR figures from Mr. Billy Simmons, State Medicaid Commission (p.c., telephone, 4/30/86), and utilized these revenues (along with General Fund and Other Federal Funds), as an offset against the expenditure totals for the five facilities. The remaining funds then were designated in our analysis as Other State Funds.

Community services figures in the correspondence from McMurtry (5/27/86) were for "subsidies, loans and grants." The figures included Social Service Block Grant (SSBG) revenues, which were detailed for us by Alice Skelton, SSBG Program Review Administrator (p.c., correspondence, 5/2/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services refers to the funding of five institutions: Boswell Retardation Center, Ellisville State School (and Farm), Hudspeth Retardation Center, Northern Mississippi Retardation Center, and Southern Mississippi Retardation Center.

State General Funds consisted of the "State Appropriations" line item, as presented in the Mississippi Budget, for each of the five state-operated MR institutions.

Federal ICF/MR consisted of the summed Federal revenues for the five state-operated MR institutions. One center, Hudspeth, referred to ICF/MR funds in the state budget as "Generated Funds."

Other State Funds consisted principally of the 1) "Beginning Cash Balance" minus the "Year-end Cash Balance" for each state operated institution (summed); 2) a small amount of funds for fees paid by residents/families and for "farm income" at the Ellisville State School; and 3) the state share of the ICF/MR reimbursements.

Other Federal Funds was comprised almost entirely (over 90 percent) of Federal project grant funding to a) the Ellisville State School and b) the Northern Mississippi Retardation Center.

III. COMMUNITY SERVICES FUNDS

Community services consisted of state funds, Title XX/SSBG revenues, and private ICFs/MR expenditures.

Private ICF/MR data for FYs 1978-84 were obtained from Woody Westerfield, Mississippi State Medicaid Commission (p.c., 9/15/83). FY 1983 data were a commission estimate. We imputed FY 1977 private ICF/MR figures from the FY 1977 and FY 1978 actuals for state-operated reimbursements, determining the ratio of FY 1977 figures to FY 1978 figures. Federal and State share Private ICF/MR expenditures (FY 1984-86) were obtained from B. Simmons of the State Medicaid Commission (p.c., telephone, 4/30/86). The figures represented expenditures for five 120-bed facilities, and one 29-bed facility. (The latter facility was converted to a non-specialized ICF halfway through FY 1985, and after this point expenditures were not included in the analysis.)

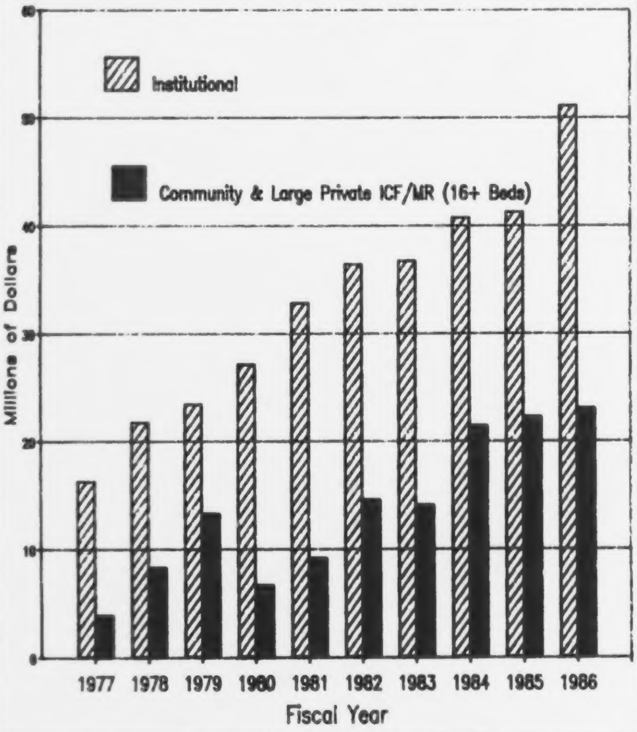
Federal Title XX/SSBG. Roger McMurtry noted that in 1976, Mississippi was potentially eligible for $60 million in Title XX funding, but received only $4 million due to an inability to raise additional state matching funds. Of the $4 million which was received, $3.3 million was expended for MR/DD. Title XX funding levels were obtained from an internal examination of Mississippi Title XX records from FYs 1977-1980, on a contract-by-contract basis. This analysis was performed for the project by Jane Lee, Social Work Program Administrator, Mississippi Department of Public Welfare, and by staff in that Program. Data were transmitted in a series of telephone interviews (9/29/83, 10/2/83, 10/3/83, and 10/4/83).

Substantial Title XX matching funds were donated by local MR services organizations, over 90 percent of the required 25 percent match. This local sum was included in the analysis category entitled Other State Funds. Lee noted that even though Congress did away with matching requirements for Title XX in FY 1982, the Mississippi legislature continued to require a match from participating contractors. The diminished utilization of Title XX funding after FY 1979 was in major part due to the conversion of Title XX day care expenditures to special education financing (p.c., R. McMurtry, 9/20/83). P.L. 94-142 brought additional funds into Mississippi for this purpose--these educational funds are not reflected in this expenditure analysis.

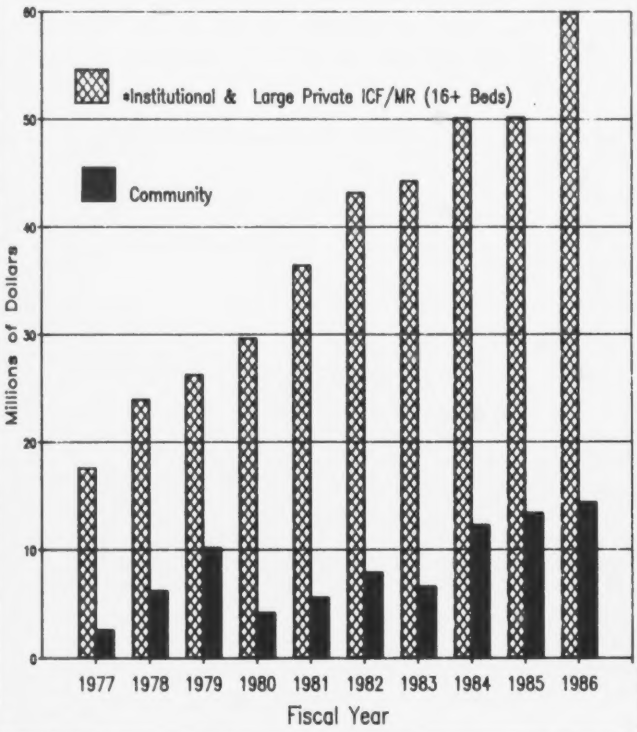
The slightly elevated Title XX/SSBG figure for FY 1982 ($4,350,000) represented funding for 15 months. Mississippi converted to an October 1 - September 30 fiscal year in 1982.

MISSISSIPPI

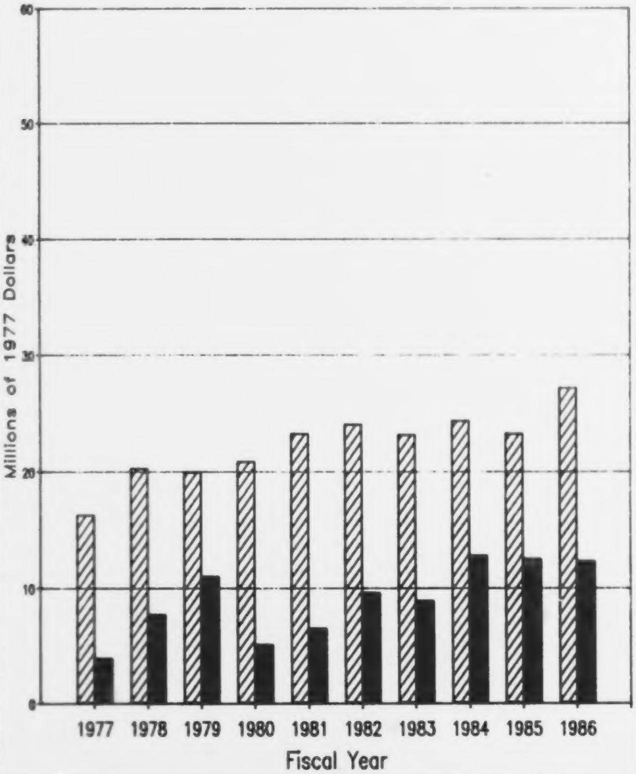
MR/DD Expenditures for *Institutional* & *Community* Services



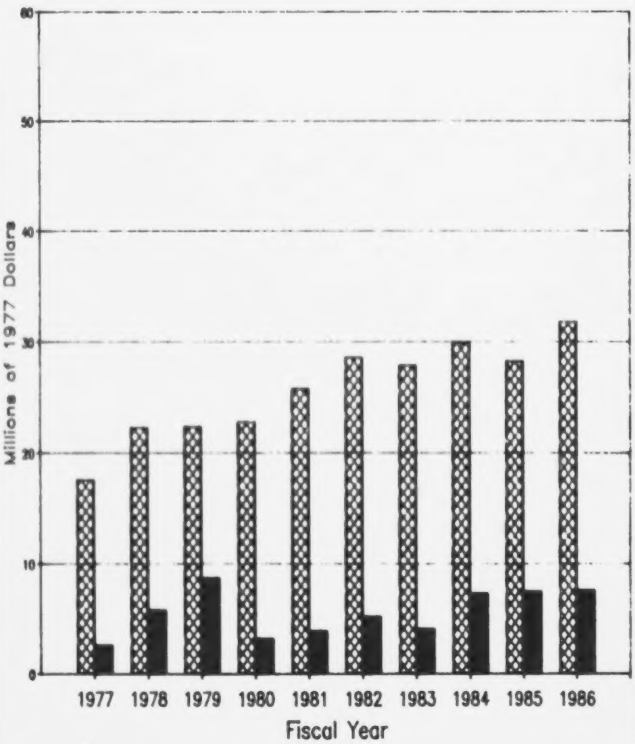
MR/DD Expenditures for Large Congregate* & Community Services



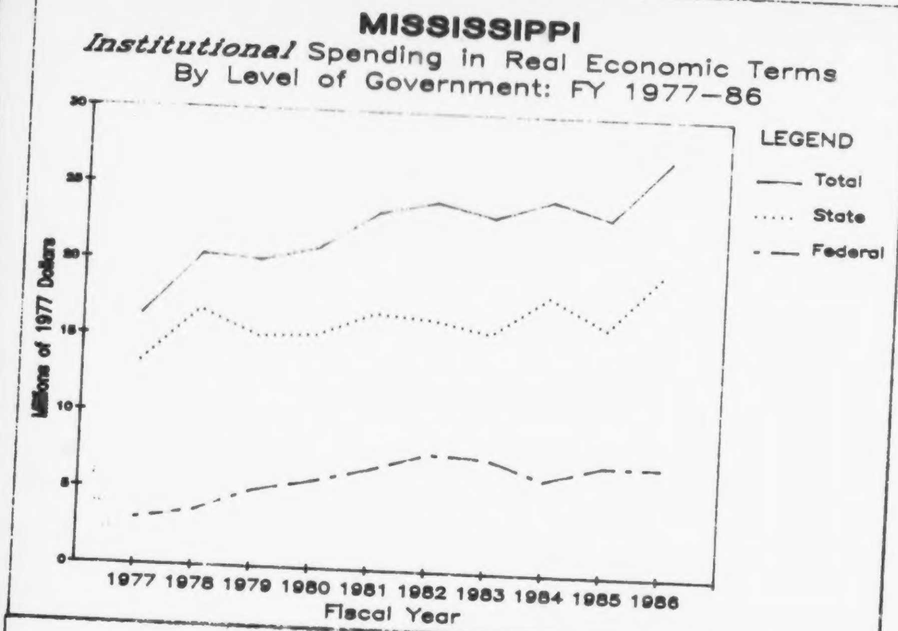
Adjusted for Inflation



Adjusted for Inflation

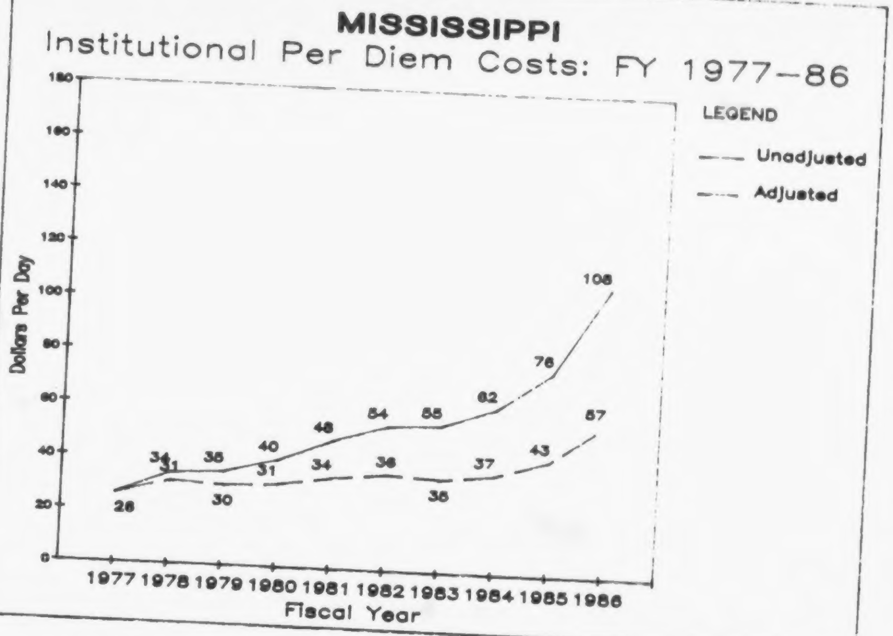


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



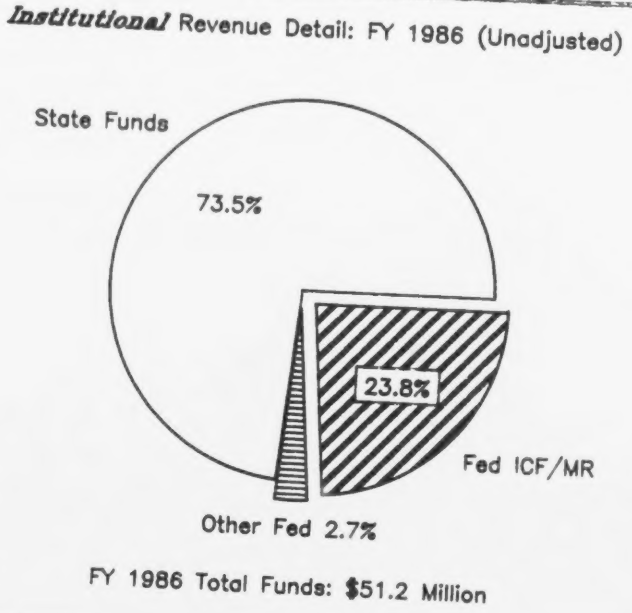
MISSISSIPPI

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86



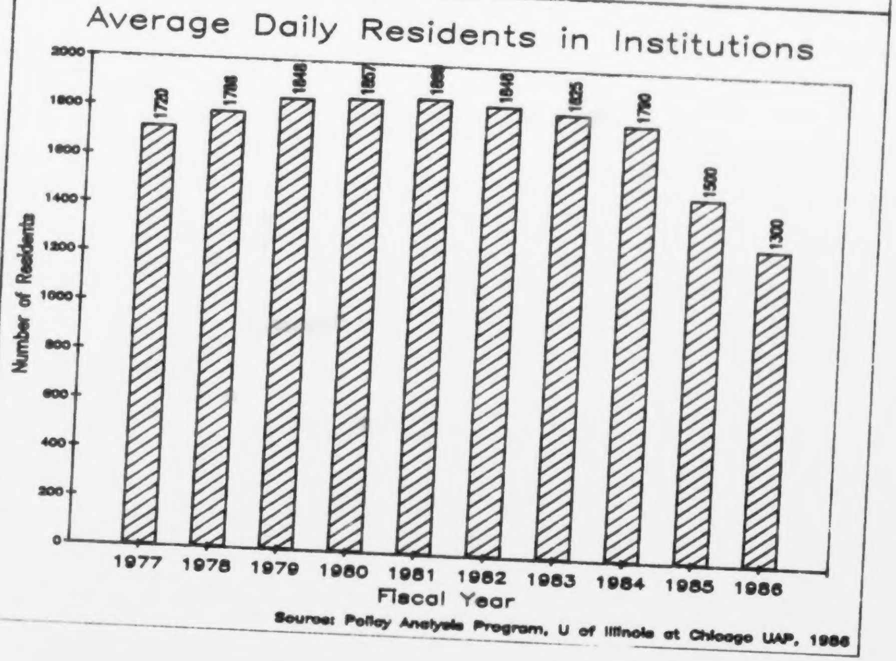
MISSISSIPPI

Institutional Per Diem Costs: FY 1977–86



Institutional Revenue Detail: FY 1986 (Unadjusted)

FY 1986 Total Funds: $51.2 Million



Average Daily Residents in Institutions

Source: Policy Analysis Program, U of Illinois at Chicago UAP, 1986

397

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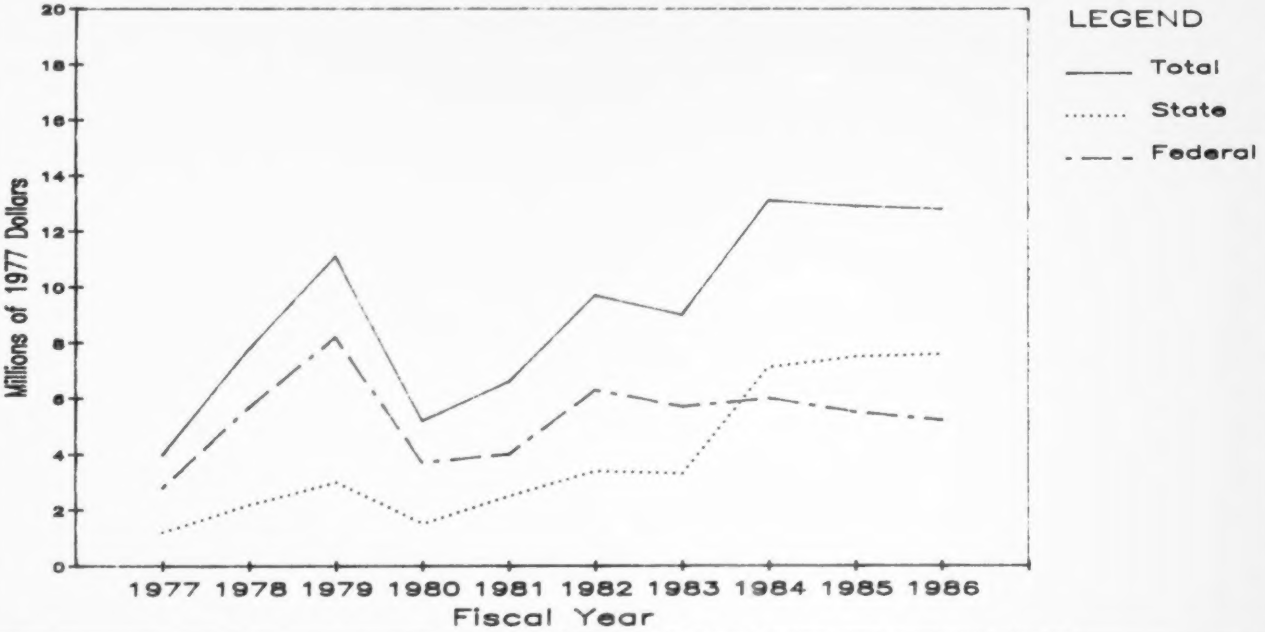
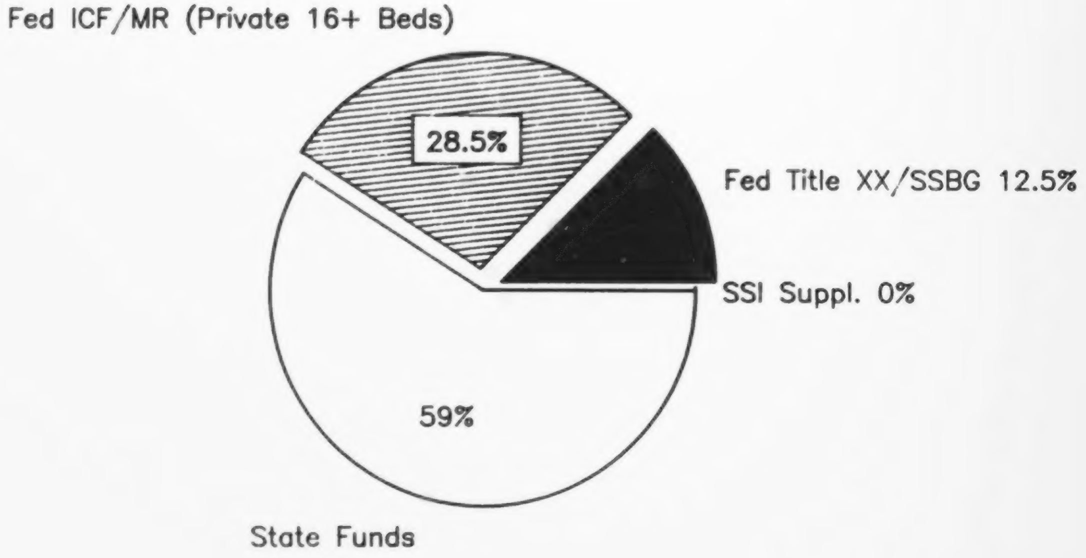
MISSISSIPPI

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

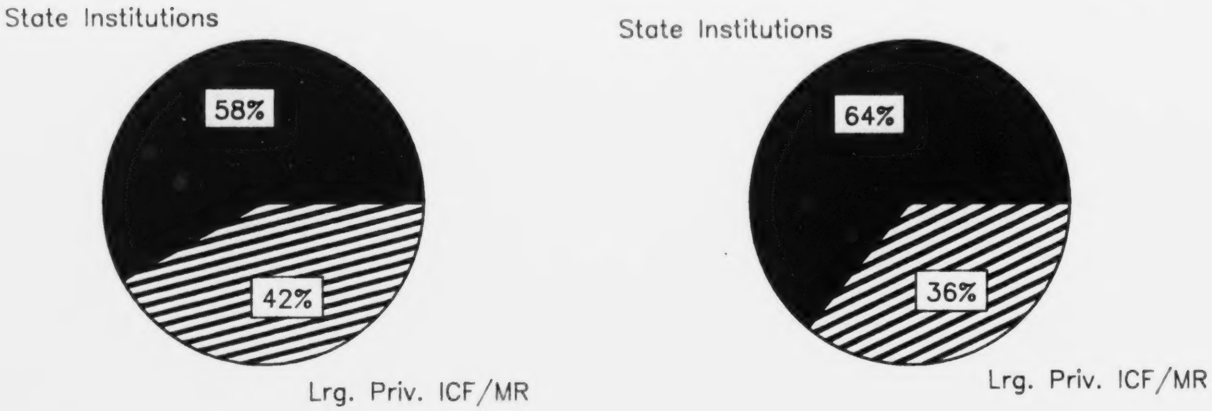


FY 1986 Total Funds: $24 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MISSISSIPPI

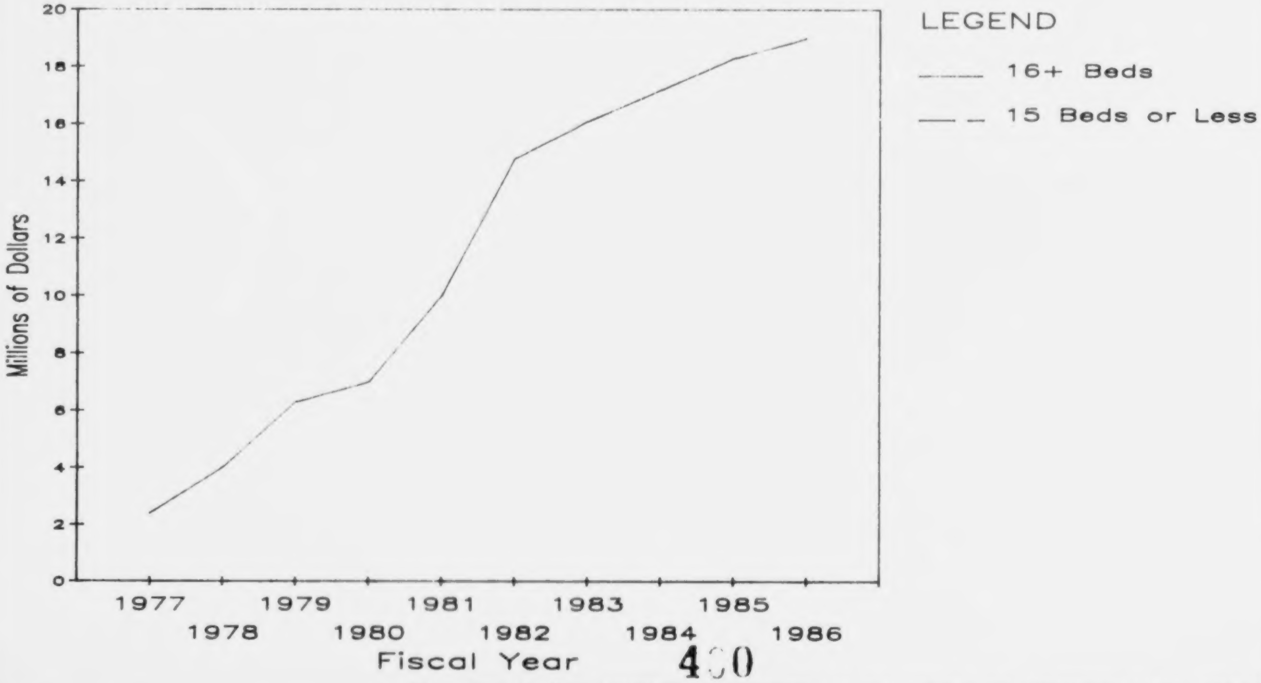
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $2.4 Million

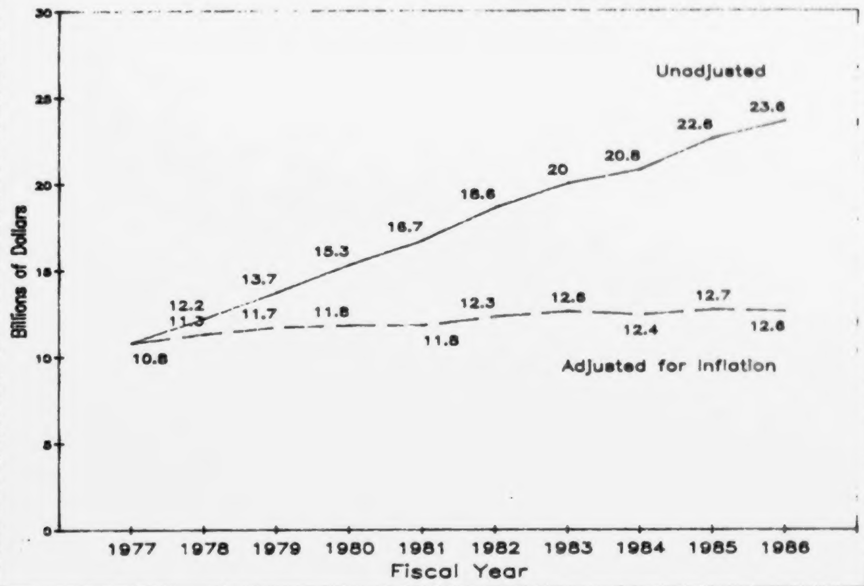
FY 1986 Total Federal Funds: $19.0 Million

By Facility Size, FY 1977–86

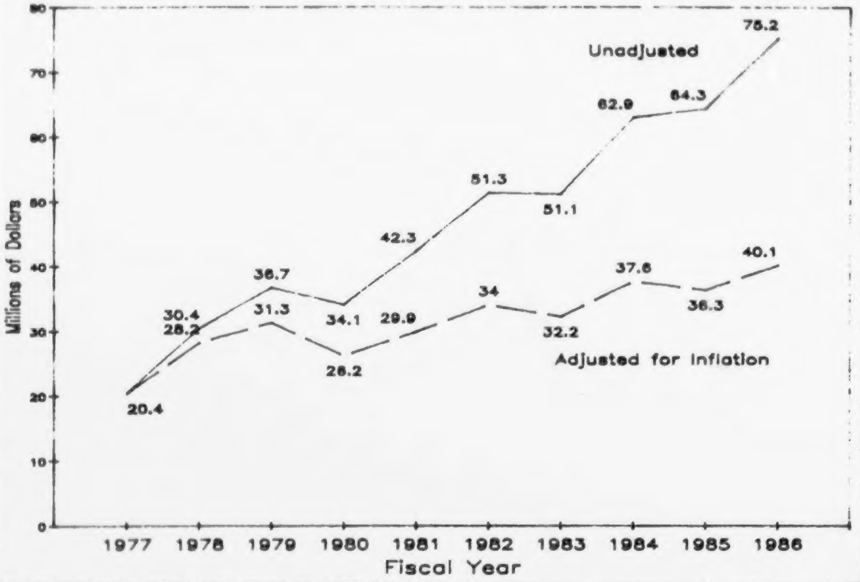


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

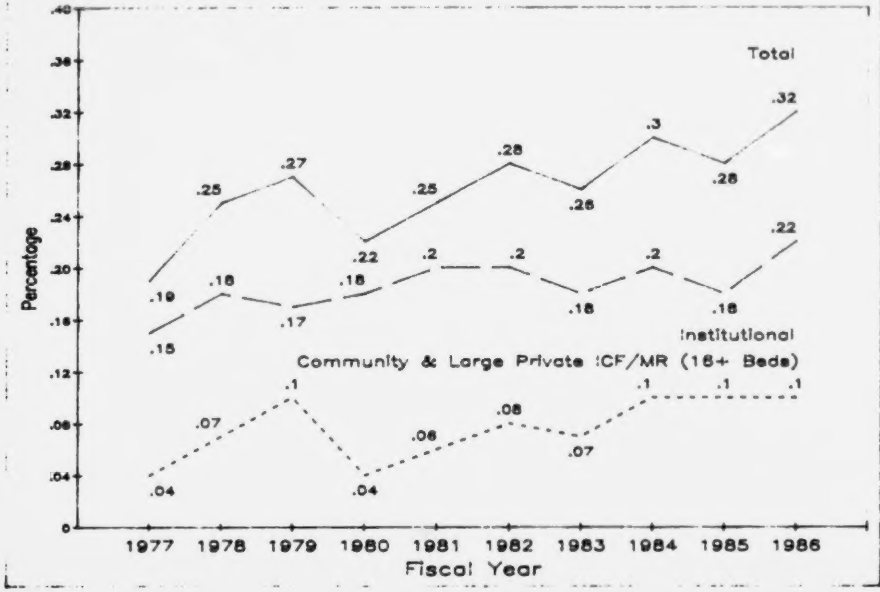
Personal Income in **MISSISSIPPI**



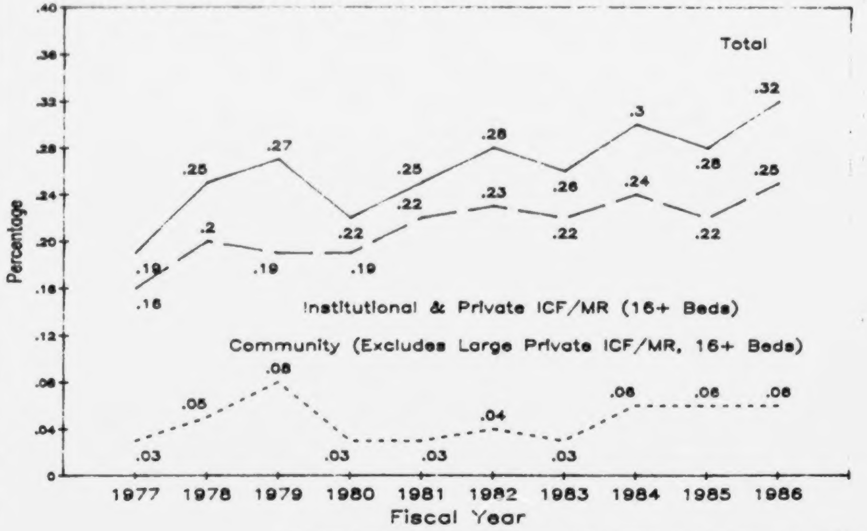
Total MR/DD Spending in **MISSISSIPPI**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MISSISSIPPI 6/25/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	54,341,000	67,200,000	77,354,000	80,025,000	97,929,000	114,418,000	119,124,000	137,860,500	142,738,400	159,986,200
TOTAL INSTITUTIONAL/COMMUNITY	20,379,000	30,371,000	36,679,000	34,123,000	42,284,000	51,295,000	51,136,000	62,907,500	64,259,400	75,158,200
STATE FUNDS	14,498,000	20,384,000	21,255,000	21,929,000	27,242,000	30,163,000	30,229,000	42,482,100	41,847,900	51,813,300
General Funds	11,920,000	16,765,000	18,491,000	19,223,000	23,639,000	24,551,000	23,915,000	32,252,000	30,747,300	33,064,700
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	2,578,000	3,619,000	2,764,000	2,706,000	3,603,000	5,612,000	6,314,000	10,230,100	11,100,600	18,748,600
FEDERAL FUNDS	5,881,000	9,987,000	15,424,000	12,194,000	15,042,000	21,132,000	20,907,000	20,425,400	22,411,500	23,344,900
Title XIX Funds	2,431,000	3,952,000	6,270,000	7,007,000	9,993,000	14,799,000	16,149,000	17,223,700	18,331,800	18,976,400
Title XX / SSBG Funds	1,819,000	4,461,000	7,440,000	2,899,000	2,912,000	4,350,000	3,179,000	2,925,300	2,751,100	2,993,000
Other Federal Funds	1,631,000	1,574,000	1,714,000	2,288,000	2,137,000	1,983,000	1,579,000	276,400	1,328,600	1,375,500
INSTITUTIONAL SERVICES FUNDS	16,381,000	21,935,000	23,613,000	27,337,000	33,033,000	36,606,000	36,933,000	40,930,400	41,367,300	51,179,200
STATE FUNDS	13,341,000	18,071,000	17,778,000	19,976,000	23,695,000	24,990,000	25,003,000	30,528,900	28,605,700	37,651,600
General Funds	11,369,000	15,939,000	17,494,000	18,236,000	21,062,000	20,828,000	19,748,000	20,298,800	17,505,100	18,903,000
Other State Funds	1,972,000	2,132,000	284,000	1,740,000	2,633,000	4,162,000	5,255,000	10,230,100	11,100,600	18,748,600
FEDERAL FUNDS	3,040,000	3,864,000	5,835,000	7,361,000	9,338,000	11,616,000	11,930,000	10,401,500	12,761,600	13,527,600
Federal ICF/MR	1,409,000	2,290,000	4,121,000	5,073,000	7,201,000	9,633,000	10,351,000	10,125,100	11,433,000	12,152,100
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	1,631,000	1,574,000	1,714,000	2,288,000	2,137,000	1,983,000	1,579,000	276,400	1,328,600	1,375,500
COMMUNITY WITH FEDERAL INCOME MAINT	37,960,000	45,265,000	53,741,000	52,688,000	64,896,000	77,812,000	82,191,000	96,930,100	101,371,100	108,807,000
COMMUNITY SERVICES FUNDS	3,998,000	8,436,000	13,066,000	6,786,000	9,251,000	14,689,000	14,203,000	21,977,100	22,892,100	23,979,000
STATE FUNDS	1,157,000	2,313,000	3,477,000	1,953,000	3,547,000	5,173,000	5,226,000	11,953,200	13,242,200	14,161,700
General Funds	551,000	826,000	997,000	987,000	2,577,000	3,723,000	4,167,000	11,953,200	13,242,200	14,161,700
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	606,000	1,487,000	2,480,000	966,000	970,000	1,450,000	1,059,000	0	0	0
FEDERAL FUNDS	2,841,000	6,123,000	9,589,000	4,833,000	5,704,000	9,516,000	8,977,000	10,023,900	9,649,900	9,817,300
ICF/MR Funds	1,022,000	1,662,000	2,149,000	1,934,000	2,792,000	5,166,000	5,798,000	7,098,600	6,898,800	6,824,300
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	1,022,000	1,662,000	2,149,000	1,934,000	2,792,000	5,166,000	5,798,000	7,098,600	6,898,800	6,824,300
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	1,819,000	4,461,000	7,440,000	2,899,000	2,912,000	4,350,000	3,179,000	2,925,300	2,751,100	2,993,000
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	33,962,000	36,829,000	40,675,000	45,902,000	55,645,000	63,123,000	67,988,000	74,953,000	78,479,000	84,828,000
Suppl. Security Income (SSI)	27,728,000	29,901,000	32,597,000	36,309,000	43,598,000	49,716,000	53,512,000	59,991,000	64,510,000	67,353,000
Childhood Disability (SSDI)	6,234,000	6,928,000	8,078,000	9,593,000	12,047,000	13,407,000	14,476,000	14,962,000	13,969,000	17,475,000
F.F.P. Rate	78.28%	78.14%	78.09%	77.69%	77.55%	77.41%	77.36%	76.76%	77.63%	78.22%
Daily Institutional Population	1,720	1,786	1,848	1,857	1,869	1,848	1,825	1,790	1,500	1,300
Institutional Per Diem	26.09	33.65	35.01	40.22	48.42	54.27	55.44	62.48	75.56	107.86

MISSOURI

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The Division of Mental Retardation and Developmental Disabilities (Division of MR/DD) is within the Department of Mental Health.

Budget Format. The budget contained expenditure breakdowns for the four State Schools and Hospitals and eleven Regional Centers; and for line items termed Patient Placement Payments and Purchase of Service, both within the Department of Mental Health's Central Office Administration. These lines, according to the FY 1981 budget document, had psychiatric, MR/DD and Alcohol/Drug Abuse units of service.

- Department of Mental Health
  - Division of MR/DD
    - General Revenue Fund
    - Federal Funds
    - Mental Health Earnings Fund
  - Institution-Based Services
    - State Schools and Hospitals (listed individually)
  - Regional Centers (listed individually)
  - Division of Comprehensive Psychiatric Services
  - State Hospitals
  - Mental Health Centers
  - Division of Alcohol and Drug Abuse
  - Central Office Administration
    - Administration
    - Community Placement (General Revenue Fund, Federal Funds)
    - Patient Placement Payments (General Revenue Fund)
    - Purchase of Services
      - General Revenue Fund
      - Federal Funds

Note on Data Sources: Missouri Executive Budget documents were reviewed for Budget Years 1978 and for FYs 1980-84. These provided "expenditure" figures for FYs 1978-82; "current year planned expenditure" figures for FY 1977 and FY 1983; and a "Governor recommends" figure for FY 1984 (subsequently revised). In order to better determine the fund sources for community and institutional services, Department of Mental Health staff were contacted.

Correspondence on 9/22/83 from Nick Braccino, Controller, DMH, provided the MR/DD expenditure totals and community and institutional components with General Funds, ICF/MR, Title XX and Other Federal Funds breakdown. FY 1977-82 figures were reported to be "actual"; FY 1983 was a "revised estimate" and FY 1984 was an "appropriation."

Institutional services expenditures for FY 1984 (actual) were from the FY 1986 Budget; FY 1985 (actual) and FY 1986 (current year planned expenditure) figures were obtained from the FY 1987 Budget. Greg Riley, Accounting Manager, Department of Mental Health, annotated these documents with the Title XX/SSBG amounts for each year (p.c., correspondence, 2/15/86). The FY 1984 and FY 1985 figures for revenues (Other State Funds; Other Federal Funds; ICF/MR) were provided on "DMH Collections" sheets mailed by Rick Luehrman, Assistant Reimbursement Administrator (2/18/86), who (p.c., telephone, 2/19/86) also provided the FY 1986 estimate for Federal ICF/MR revenues. Average daily population figures were obtained from the FY 1986 and FY 1987 budgets. The increase from FY 1983 to FY 1984 was due to re-admissions to the St. Louis DD Treatment Center from a large private nursing home in the St. Louis area (p.c., correspondence, G. Sluyter, Director, Division of Mental Retardation and Developmental Disabilities, 4/23/86). Fiscal Year 1977-83 average daily population figures were provided by Marvin E. Nebel, Research Analyst, DMH (p.c., correspondence, 6/20/84.)

Subsequent to the receipt of Federal ICF/MR revenue figures from Luehrman (p.c., 2/18/86; 2/19/86), Brenda Roush, Accountant, Medical Services, Department of Social Services (p.c., telephone, 2/19/86; 3/21/86) provided ICF/MR revenue figures for institutions, for regional centers, and for the private ICFs/MR. There were different accounting methods between DMH and DSS in the reporting of these revenues; we utilized the DSS revenue figures for FY 1984-86. For example, the three-year cumulative total for the institutional ICF/MR revenues provided by Roush was $81.5 million. By comparison, the three year cumulative figure from the DMH source was $88.3 million; the FY 1984-86 figures from DMH were $14,507.8, $37,694.2, and $36,050.5, respectively.

Community services consisted of five main components--

1. Purchase of Services. For FY 1984-86, figures were obtained from the FY 1986 and FY 1987 Budgets.

2. Patient Placements. Beginning in the FY 1987 Budget (for FY 1985 actuals), DMH indicated the number of MR/DD clients and the expenditures for placements (separate from MH placements). The MR/DD placements were 64.4% for FY 1985 and 65% for FY 1986; we utilized an estimate of 65% to calculate the FY 1984 expenditure amount. (Included in the FY 1986 figure was $457 thousand for Emergency and Supplemental Appropriation for Rate Adjustments to private placement facilities for the mentally retarded.)

3. Regional Centers. Totals were obtained from the FY 1986 and FY 1987 Budgets (Riley annotated the documents with Title XX/SSBG revenue amounts). Other State Funds, Other Federal Funds and ICF/MR reimbursements for FY 1984 and FY 1985 were obtained from DMH Collections sheets. However, as noted above, DSS provided different figures for Federal ICF/MR, and to be consistent with the method utilized in recording revenues in the institutions, we utilized the DSS figures. By comparison, DMH figures for FY 1984-86 were $208.5, $4,475.8, and $2,692.3 thousand, respectively, for a cumulative total of $7,376.6 thousand compared to the cumulative total of $9,540.8 thousand from the DSS source.

4. DD Act. The figure for FY 1985 was obtained from the FY 1985 MH Program Directors' Summary forwarded to us by Riley (2/10/86); he also provided the FY 1986 figure (p.c., telephone, 2/10/86). These revenues were classified Other Federal Funds in the analysis.

For the four components above, corresponding revenue categories were aggregated (e.g. DD Act was added to Other Federal Funds reported for the Regional Centers) to arrive at the categories of our analysis. The slight change between our previous FY 1984 figures and the revised FY 1984 figures probably related to the percentage estimate on MR/DD Patient Placements. It should also be noted that the Regional Center Title XIX Federal revenue figures, which were first reported for FY 1984, are included in our analysis as "Title XIX Day Program." These funds reimbursed a range of case management, day, and some residential programs at the Centers, and this was the most comparable categorization within our analytic format.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the expenditures for the four State School and Hospitals (Higginsville, Marshall, Nevada, and St. Louis) and the St. Louis DD Treatment Center.

State General Funds reported in the 9/22/83 correspondence were adjusted for the analysis in the following manner. The correspondence reported "State Funds" and, for FY 1977 and FY 1978 only, "Title XIX." For these two years we combined State Funds and this "Title XIX." The correspondence also reported federal share "Title XIX Collections," which we subtracted from "State Funds" (and the "State Funds--Title XIX" combination figures for FYs 1977-78). This produced a net State General Funds figure for our analysis.

Federal ICF/MR consisted of the figures reported in the 9/22/83 correspondence as "Title XIX Collections."

Other Federal Funds were primarily P.L. 89-313 (Title I) and Vocational Education Federal funds.

III. COMMUNITY SERVICES FUNDS

Community services consisted of the expenditures for the Division's eleven Regional Centers, the MR/DD units of service portions of the Patient Placement Payments and Purchase of Services lines, and private ICFs/MR. Greg Riley, Assistant Controller, DMH, indicated (p.c., telephone, 9/29/83) that these reported "Title XIX" funds were actually reimbursements for services at the state hospitals which had been re-assigned as "community placement program" funds. Since the ICF/MR Federal revenue for Missouri as reported by the Health Care Financing Administration ($10,476,000 in FY 1977 and $11,256,000 in FY 1978) corresponded so closely to the funds reported as "Title XIX Collections," we concluded that those termed "Title XIX" funds ($3,367,049 in FY 1977 and $2,070,000 in FY 1978) should be added to the General Fund category in community services, to more accurately reflect total expenditures for community service activities.

Private ICF/MR figures for FYs 1977-83 consisted of expenditure figures reported by Gretchen Engquist, Department of Social Services (p.c., telephone, 9/29/83). Figures for FY 1984-86 were provided by B. Roush (p.c., 3/21/86). Roush provided number of facilities, beds, average per diem and an average occupancy percentage for facilities of fifteen beds or less, and those of sixteen plus beds, as follows:

15 or Less	FY 1984	FY 1985	FY 1986
# Facilities	4	6	15
# Beds	38	52	123
Average Per Diem			$78.24
Occupancy			82.22%
16 Plus			
# Facilities	1	3	3
# Beds	66	130	134
Average Per Diem			$109.61
Occupancy			n/a

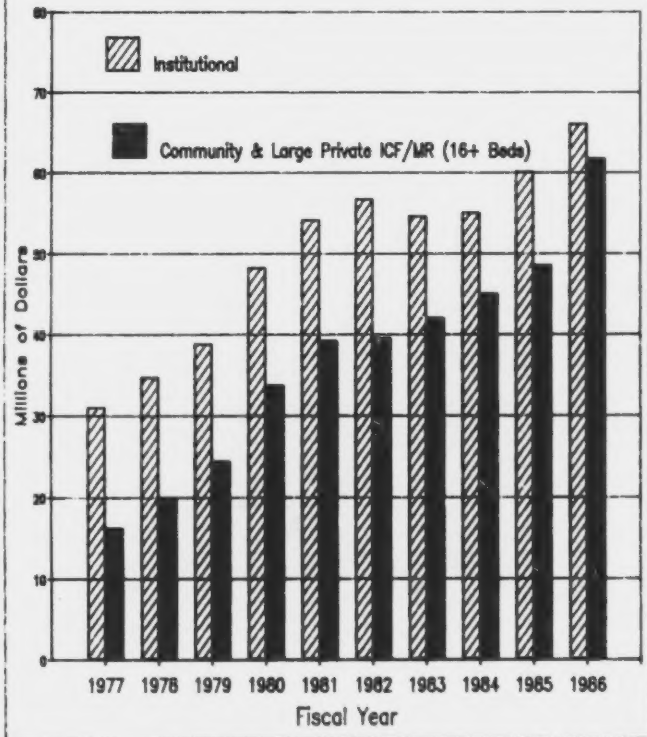
Roush concurred with a method of estimating 15 or Less expenditures by multiplying beds x per diem x occupancy rate x 365 days. Since many of the 15 or less facilities were phasing in late in FY 1986, we estimated that 7 facilities, with an average 8.7 beds were operational for the fiscal year. Once 15 Bed or Less expenditures were thus calculated, these figures were subtracted from the total private ICF/MR expenditures, and the 16 or Larger facility expenditures thus estimated. FY 1981-83 private ICF/MR ratios of small to large were then imputed based on the FY 1986 ratio.

Federal Title XX/SSBG funds were reported in the 9/22/83 correspondence for Regional Centers, and for Patient Placement Payments and Purchase of Services. Title XX funds were also reported in that correspondence for institutional services (between $6,000 to $23,000 per year) but these figures have been included here in community services. The state match in FYs 1977-81 to these Federal Title XX funds was included within the General Funds figures reported to us in the 9/22/83 correspondence.

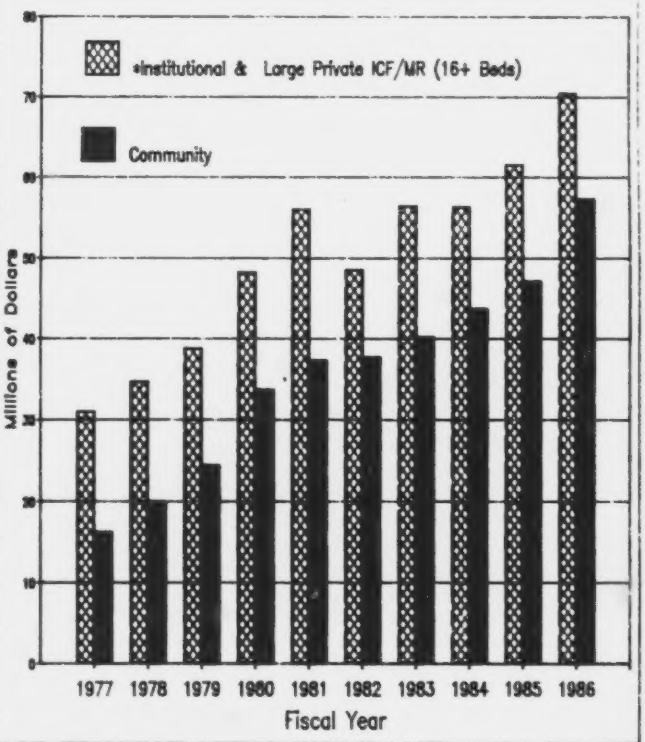
Other Federal Funds consisted primarily of Developmental Disablities Act funds, managed by the Division of DD/MR, and passed through to community agencies (p.c., telephone, G. Riley, 9/29/83).

MISSOURI

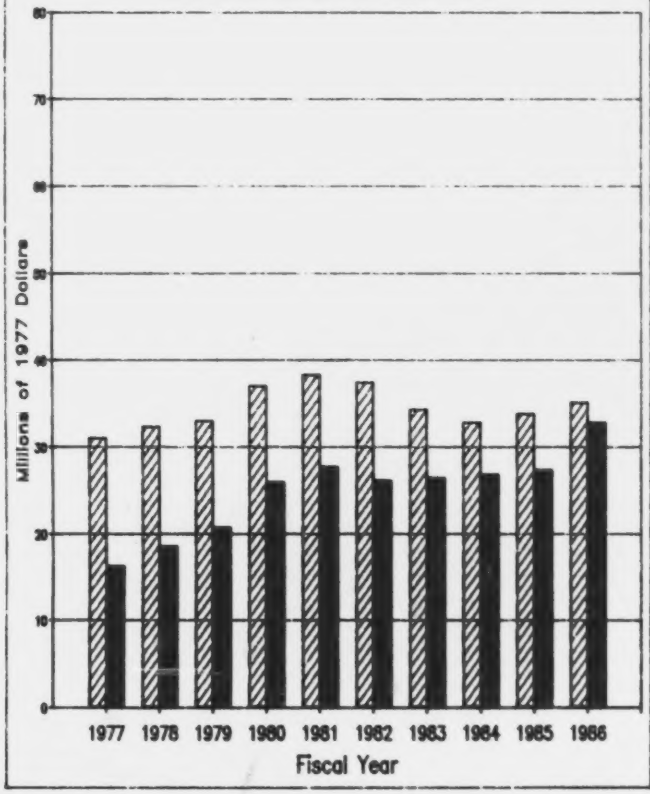
MR/DD Expenditures for *Institutional* & *Community* Services



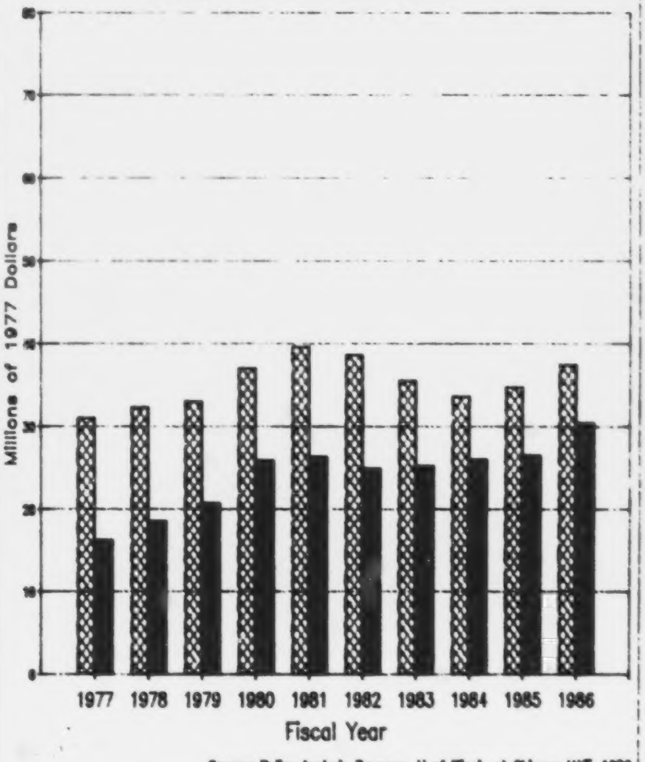
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



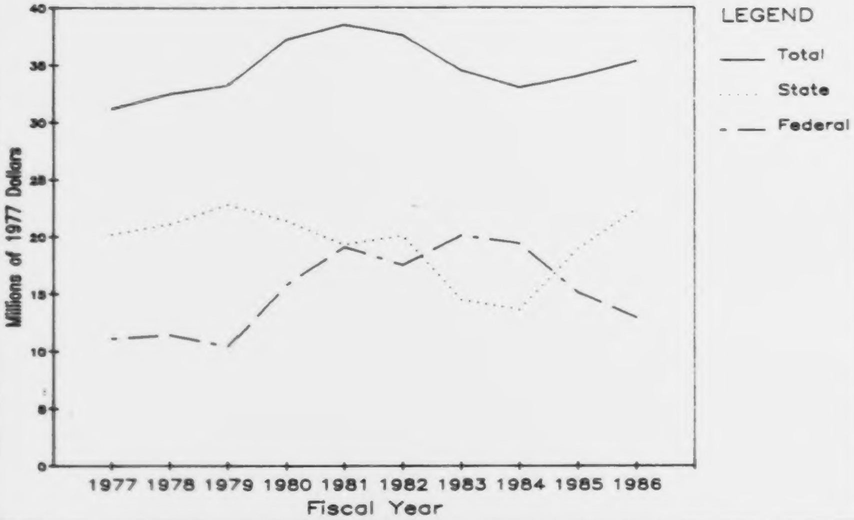
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MISSOURI

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86



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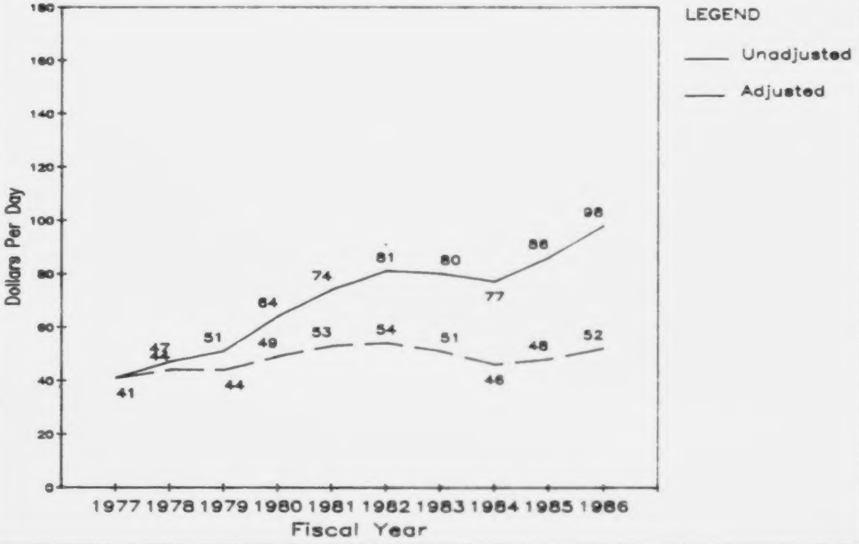
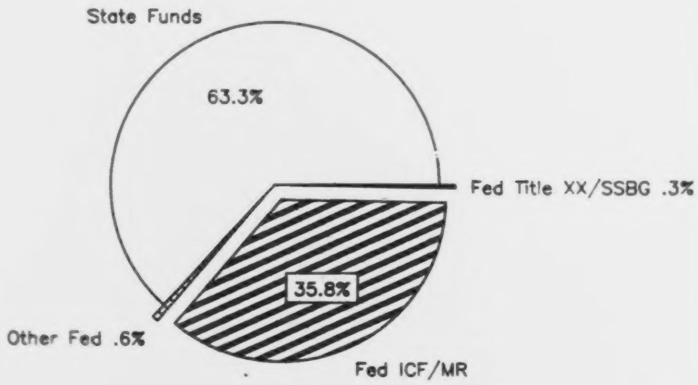
Institutional Per Diem Costs: FY 1977–86

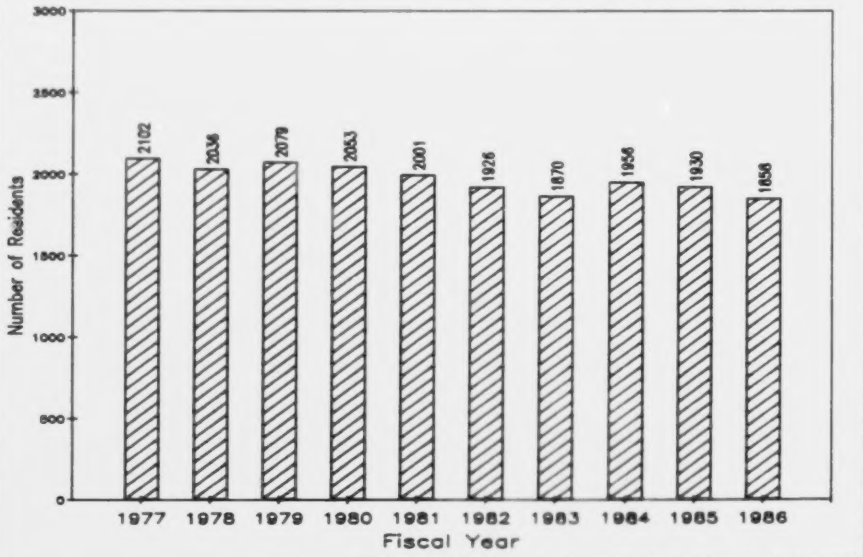


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $66.2 Million

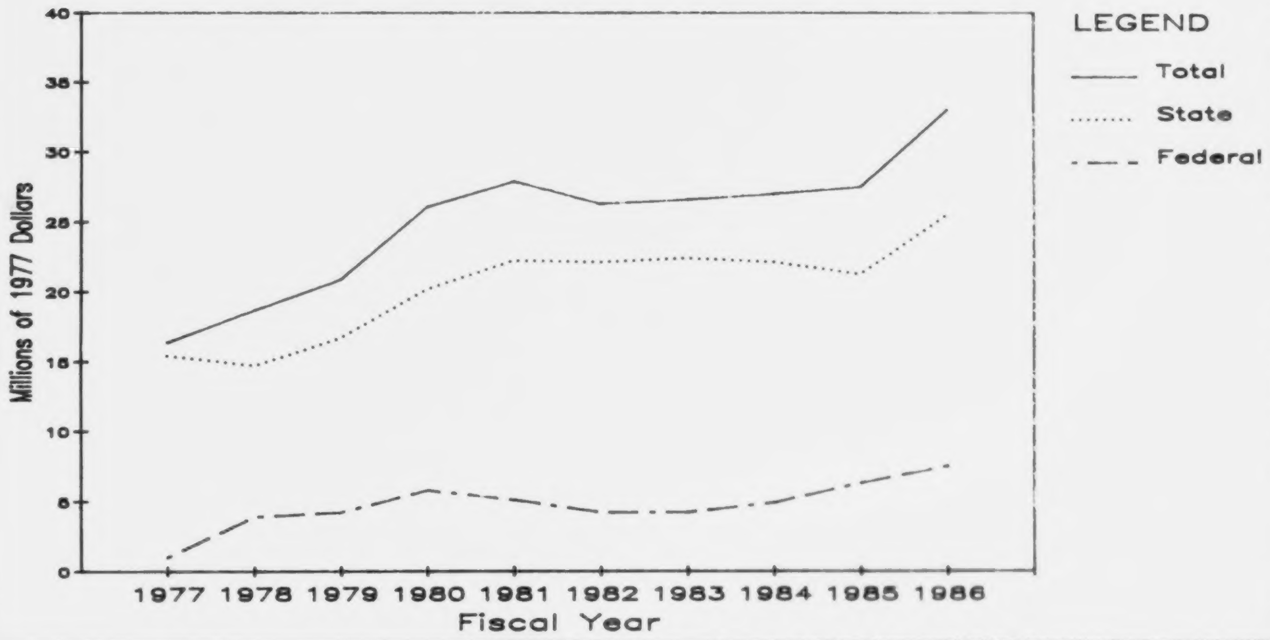
Average Daily Residents in Institutions



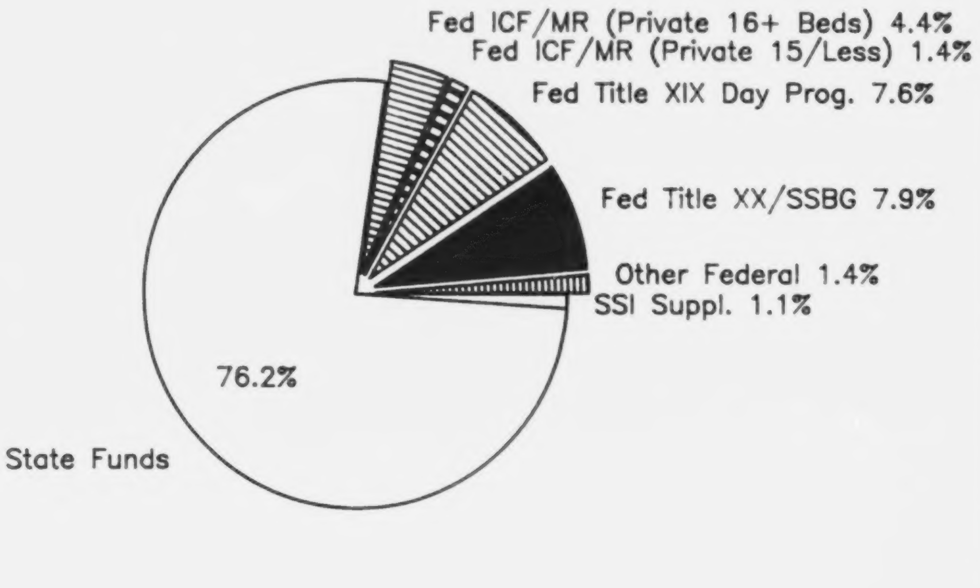
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MISSOURI

Community Spending Adjusted for Inflation
By Level of Government: FY 1977--86



Community Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $61.9 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

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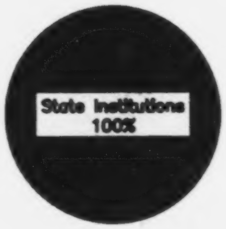
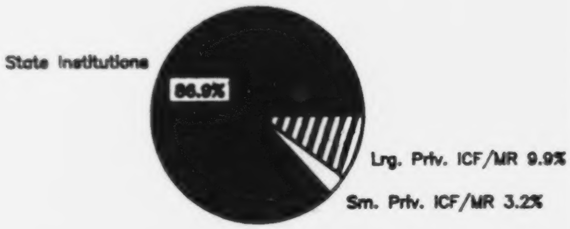
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

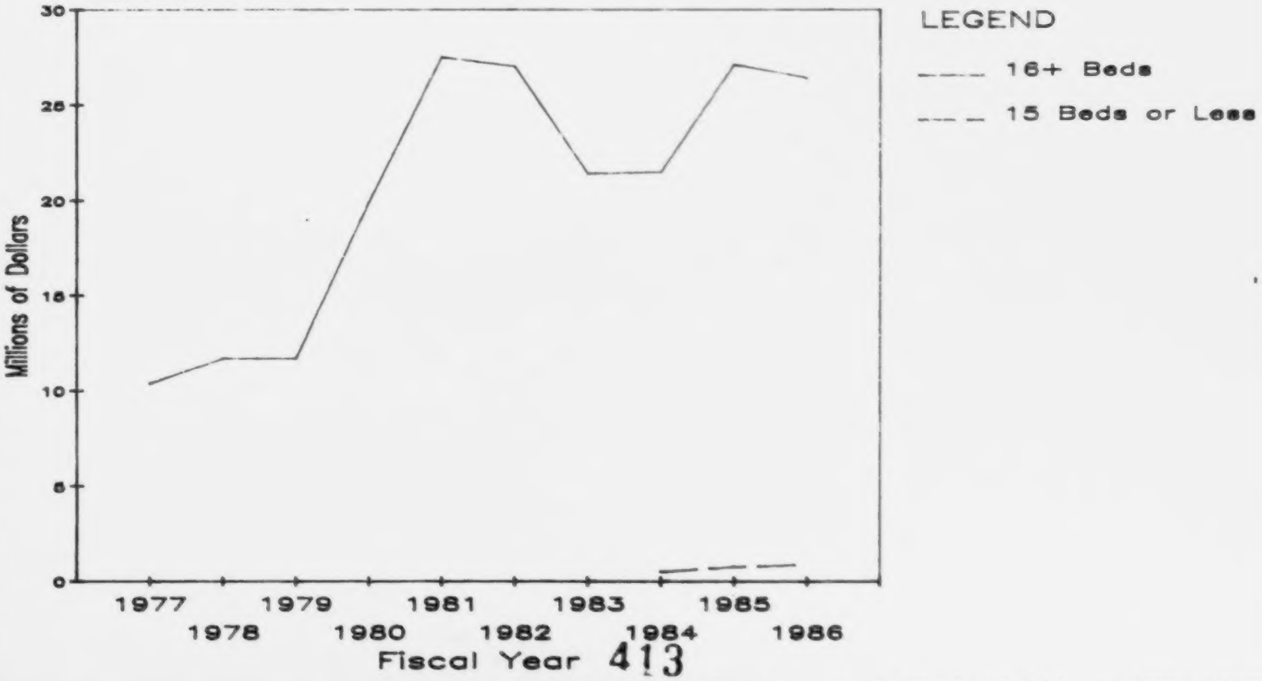


FY 1977 Total Federal Funds: $10.4 Million



FY 1986 Total Federal Funds: $27.2 Million

By Facility Size, FY 1977–86



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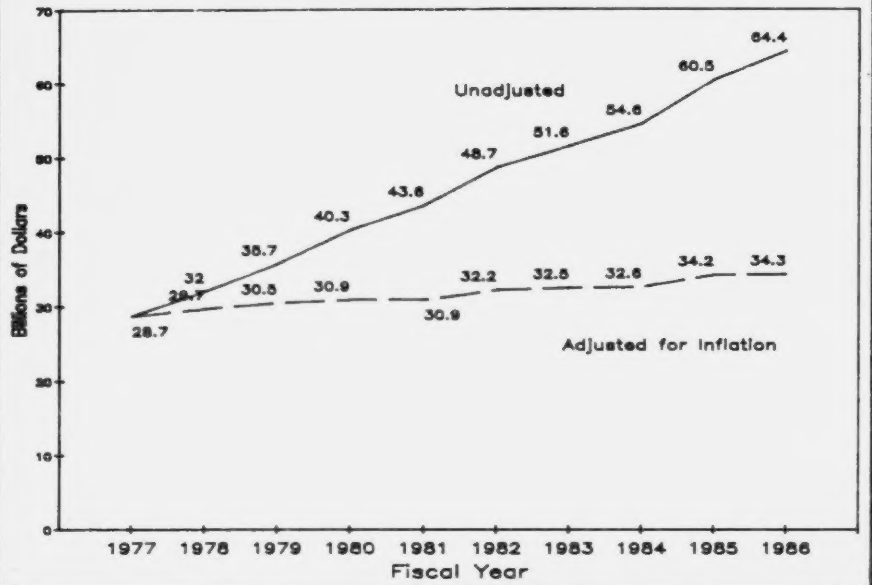
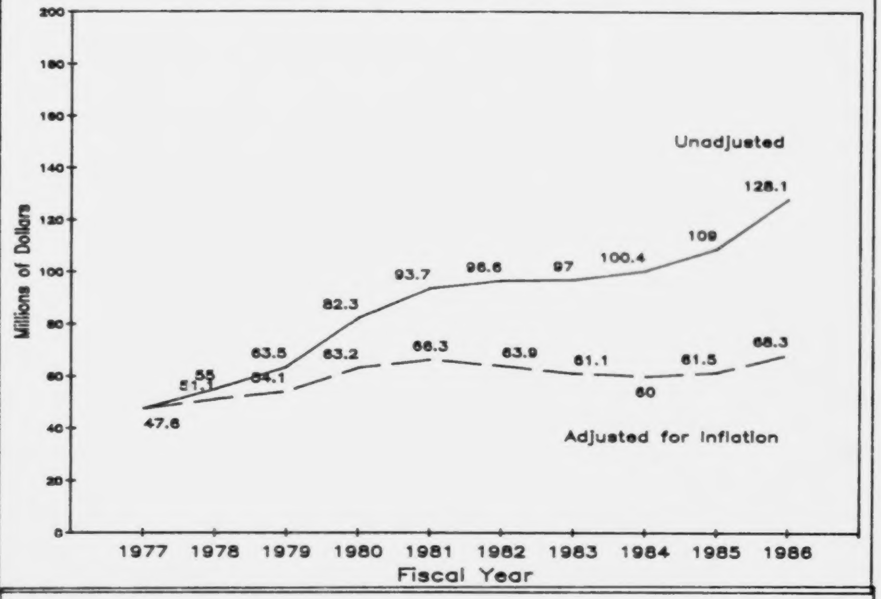
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

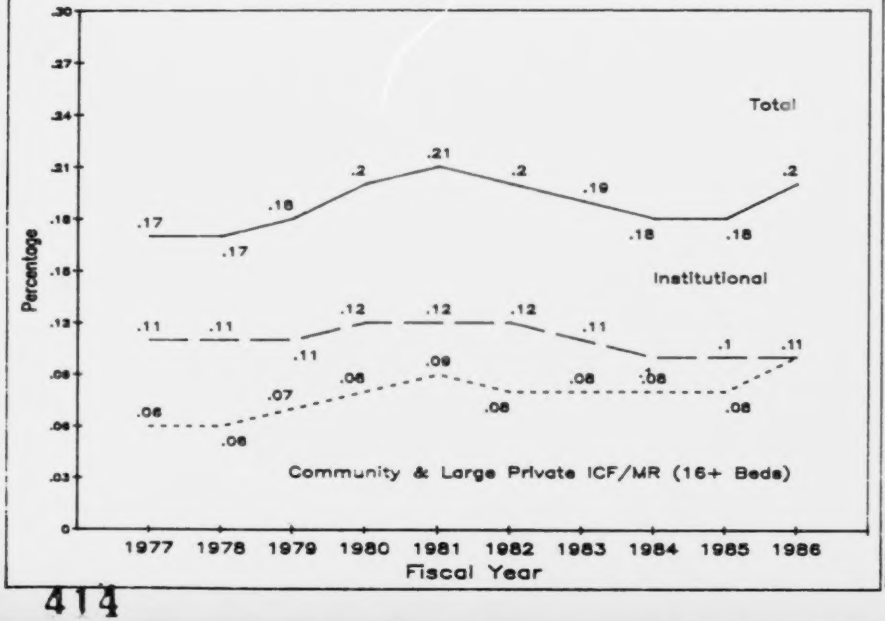
Personal Income in **MISSOURI**



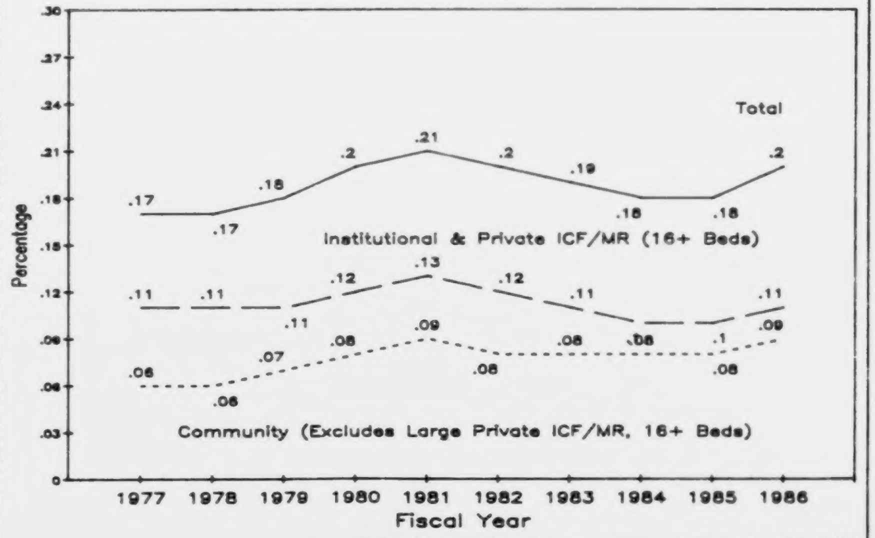
Total MR/DD Spending in **MISSOURI**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

MISSOURI 3/24/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	76,472,000	87,076,000	98,329,000	122,133,000	142,297,000	150,833,000	155,943,000	164,906,100	177,029,800	202,926,800
TOTAL INSTITUTIONAL/COMMUNITY	47,891,000	55,258,000	63,780,000	82,546,000	93,893,000	96,786,000	97,173,000	100,591,100	109,141,800	128,065,800
STATE FUNDS	35,826,000	38,834,000	46,676,000	54,393,000	59,631,000	63,992,000	58,706,000	60,020,800	71,239,100	89,748,300
General Funds	34,472,000	37,522,000	45,426,000	53,292,000	57,878,000	62,371,000	57,158,000	55,450,700	66,663,100	85,355,300
SSI State Supplement	1,354,000	1,312,000	1,250,000	1,101,000	999,000	899,000	825,000	761,000	805,000	622,000
Other State Funds	0	0	0	0	754,000	722,000	723,000	3,809,100	3,771,000	3,771,000
FEDERAL FUNDS	12,065,000	16,424,000	17,104,000	28,153,000	34,262,000	32,794,000	38,467,000	40,570,300	37,902,700	38,317,500
Title XIX Funds	10,446,000	11,671,000	11,658,000	19,907,000	27,528,000	27,015,000	32,446,000	33,977,700	31,694,300	31,943,800
Title XX / SSBG Funds	164,000	3,291,000	4,064,000	6,875,000	5,363,000	4,627,000	4,631,000	5,100,200	4,984,500	5,094,300
Other Federal Funds	1,455,000	1,462,000	1,382,000	1,371,000	1,371,000	1,152,000	1,390,000	1,492,400	1,223,900	1,279,400
INSTITUTIONAL SERVICES FUNDS	31,240,000	34,910,000	38,956,000	48,377,000	54,310,000	56,854,000	54,806,000	55,243,400	60,265,700	66,168,100
STATE FUNDS	20,171,000	22,699,000	26,764,000	27,837,000	27,320,000	30,414,000	22,952,000	22,829,900	33,501,900	41,913,300
General Funds	20,171,000	22,699,000	26,764,000	27,837,000	27,320,000	30,414,000	22,952,000	19,309,100	30,000,500	38,411,900
Other State Funds	0	0	0	0	0	0	0	3,520,800	3,501,400	3,501,400
FEDERAL FUNDS	11,069,000	12,211,000	12,192,000	20,540,000	26,990,000	26,440,000	31,854,000	32,413,500	26,763,800	24,254,800
Federal ICF/MR	10,446,000	11,671,000	11,658,000	19,907,000	26,383,000	25,918,000	31,347,000	31,700,300	26,174,400	23,660,600
Title XX / SSBG Funds	0	0	0	0	0	0	0	210,700	166,400	171,200
Other Federal Funds	623,000	540,000	534,000	633,000	607,000	522,000	507,000	502,500	423,000	423,000
COMMUNITY WITH FEDERAL INCOME MAINT	45,232,000	52,166,000	59,373,000	73,756,000	87,987,000	93,979,000	101,137,000	109,662,700	116,764,100	136,758,700
COMMUNITY SERVICES FUNDS	16,651,000	20,348,000	24,824,000	34,169,000	39,583,000	39,932,000	42,367,000	45,347,700	48,876,100	61,897,700
STATE FUNDS	15,655,000	16,135,000	19,912,000	26,556,000	32,311,000	33,578,000	35,754,000	37,190,900	37,737,200	47,835,000
General Funds	14,301,000	14,823,000	18,662,000	25,455,000	30,558,000	31,957,000	34,206,000	36,141,600	36,662,600	46,943,400
SSI State Supplement	1,354,000	1,312,000	1,250,000	1,101,000	999,000	899,000	825,000	761,000	805,000	622,000
Other State Funds	0	0	0	0	754,000	722,000	723,000	288,300	269,600	269,600
FEDERAL FUNDS	996,000	4,213,000	4,912,000	7,613,000	7,272,000	6,354,000	6,613,000	8,156,800	11,138,900	14,062,700
ICF/MR Funds	0	0	0	0	1,145,000	1,097,000	1,099,000	1,325,400	1,640,600	3,573,700
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	545,500	749,700	869,600
Large Private	0	0	0	0	1,145,000	1,097,000	1,099,000	779,900	890,900	2,704,100
Other Title XIX Funds	0	0	0	0	0	0	0	952,000	3,879,300	4,709,500
Title XIX Day Programs	0	0	0	0	0	0	0	952,000	3,879,300	4,709,500
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	164,000	3,291,000	4,064,000	6,875,000	5,363,000	4,627,000	4,631,000	4,889,500	4,818,100	4,923,100
Other Federal Funds	832,000	922,000	848,000	738,000	764,000	630,000	883,000	989,900	800,900	856,400
FEDERAL INCOME MAINTENANCE	28,581,000	31,818,000	34,549,000	39,587,000	48,404,000	54,047,000	58,770,000	64,315,000	67,888,000	74,861,000
Suppl. Security Income (SSI)	19,562,000	21,796,000	22,862,000	25,709,000	30,975,000	34,651,000	37,827,000	42,670,000	45,870,000	49,581,000
Childhood Disability (SSDI)	9,019,000	10,022,000	11,687,000	13,878,000	17,429,000	19,396,000	20,943,000	21,645,000	22,018,000	25,280,000
F.F.P. Rate	58.98%	60.24%	60.66%	60.44%	60.36%	60.38%	60.38%	61.15%	61.40%	60.82%
Daily Institutional Population	2,102	2,036	2,079	2,053	2,001	1,926	1,870	1,956	1,930	1,858
Institutional Per Diem	40.72	46.98	51.34	64.38	74.36	80.87	80.30	77.17	85.55	97.57

MONTANA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. In Montana, institutional services are administered by the Mental Health and Residential Services Division in the Department of Institutions. Community services are managed by the Developmental Disabilities Program Office within the Department of Social and Rehabilitation Services (SRS).

Budget Format. The Montana State Budget for the Department of Institutions included the following revenue categories.

Department of Institutions
  General Fund
  Earmarked Special (Revenue) Fund
  Federal and Private Special Fund
  Others (includes Proprietary Fund, Revolving Fund, Agency Fund, and Bond Proceeds and Insurance Fund)
   Boulder River School and Hospital
    [Same funding categories]
   Eastmont Training Center
    [Same funding categories]

The Department of Social and Rehabilitation Services (which administers the MR/DD Community Services program) organized its budget with the same revenue source categories listed above for the Department of Institutions. Major operating entities relevant to MR/DD were:

Central Office
DD Program Office
DD Council

In the FY 1987 budget, the revenue categories were reduced to:

General Fund
State Special Revenue Fund
Federal & Other Special Revenue Fund

Note on Data Sources. Actual expenditure figures for Fiscal Years 1978, 1980, 1982, and 1984 were obtained from the FYs 1981, 1983, 1985, and 1987 Biennial Executive Budgets. Since the biennial budgets provided only "estimated" figures for the alternate years, actual expenditures for FYs 1977, 1979, 1981, 1983, and 1985 were obtained from another source-the Agency Program Cost Reports. These reports were obtained from Kathy Traviano, Accounting Division, Department of Administration (p.c., correspondence, 9/8/83) and Dan Anderson, Administrative Officer, Department of Institutions (p.c., correspondence, 4/17/86). Additional information on FY 1985 expenditures was provided by Benjamin Johns, Deputy

Director, Department of Social and Rehabilitation Services (p.c., correspondence, 2/19/86 and 8/20/86). Appropriation figures for FY 1986 were from the FY 1987 State Appropriation Report. FYs 1977-83 average daily population figures were provided by Jerry Hoover, Department of Institutions (p.c., telephone, 5/23/84); FYs 1984-86 census figures were obtained from Rudy Jones, Business Manager, Boulder River School (p.c., telephone, 4/2/86), and Cindy Shanley, Business Manager, Eastmont Training Center (p.c., telephone, 4/2/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included expenditures for two state institutions: Boulder River School and Hospital (changed to the "Montana Developmental Center"), and Eastmont Human Services Center.

State General Funds were computed by deducting the federal share of Title XIX revenues and small amounts of private pay, insurance monies, and other miscellaneous revenues from total institutional expenditures. These amounts were deducted and carried in "Other State Funds," "Federal ICF/MR," and "Other Federal Funds" below.

Other State Funds were almost entirely resident private pay and insurance receipts, and revenues from the revolving canteen account. Estimates of these funds for FYs 1977-83 were provided by Jerry Hoover (p.c., correspondence, 8/30/84). However, there may be some (less than 10%) federal dollars in this line for these years, according to Paul Vendetti, MH and Residential Services Division (p.c., telephone, 9/15/83).

For FYs 1984-86, private pay and insurance funds were identified by Jane Wonderwold, Bureau Chief, Dept. of Institutions (p.c., telephone, 4/3/86). Added to this were canteen funds, donations, and miscellaneous receipts; estimates for these sources were provided by Rudy Jones and Cindy Shanley (p.c., telephone, 4/2/86).

Federal ICF/MR. In Montana, Federal ICF/MR revenue flowed directly into the General Treasury and was not displayed as a distinct revenue source in the institutional budgets. FYs 1977-83 ICF/MR revenue figures were provided by Jerry Hoover, Administrator, Mental Health and Residential Services Division, Department of Institutions (p.c., telephone, 5/23/84). FYs 1984-86 estimates were obtained from Jane Wonderwold (p.c., telephone, 3/31/86).

Other Federal Funds were ESEA Title I, School Lunch, and small amounts of Title IV funds. FYs 1977-83 figures were provided by Mr. Hoover (p.c., correspondence, 8/30/83); Rudy Jones and Cindy Shanley provided the revenue estimates for FYs 1984-86 (p.c., telephone, 4/2/86).

III. COMMUNITY SERVICES FUNDS

Community services included the "Developmental Disabilities Program" and the "Developmentally Disabled Planning and Advisory Council," both of which were under the Department of Social and Rehabilitation Services.

State General Fund. The figures for the DD Program which were reported in the Executive Budget included central office administration as well as community day and residential programs. To exclude administration, as was done with other state budgets in our analysis, the lines for "personnel," "operating expenses," and "equipment" were deducted from the total General Fund (GF) line each year under the DD Program, per instructions from Jim Delsigne, Fiscal Officer, DD Division (p.c., telephone, 8/29/83). These three lines represented the central office administrative costs. The large reduction in general funds in FY 1986 reflected the major increase in Federal Title XX/SSBG monies for the Department of Social and Rehabilitation Services.

Private ICF/MR. FYs 1977-83 figures were obtained from Jack Ellery, Division of Economic Assistance (p.c., telephone, 8/25/83); David Thoreson of the Division of Economic Assistance provided the FYs 1984-86 expenditure data (p.c., telephone, 3/25/86). According to Thoreson, there was one privately-operated 10-bed facility funded by non-waiver Title XIX revenues in FY 1986.

Title XIX Waiver expenditures began in November, 1982. In FY 1986, 211 individuals were supported under the Waiver in 61 adult and 12 child residences. All of these facilities were in the "small" category. FYs 1982-83 figures were provided by Ben Johns, Deputy Director, Department of SRS (p.c., telephone, 10/11/83). FY 1984 actual funding and FY 1986 estimates were obtained from the FY 1987 budget; FY 1985 actual figures were provided by Ben Johns (p.c., correspondence, 2/19/86).

Federal Title XX/SSBG funds were distributed into two different fund categories in the FYs 1977-83 Budgets: the "Federal and Private Special Revenue Fund" and the "Federal and Private Grant Clearance Fund." According to Ben Johns (p.c., telephone, 10/11/83), the reason for this was so that the State Legislature could exert more control over the expenditures. Most of the Title XX funds went into the "Grant Clearance Fund" which meant the DD Division had control over its use. However, a portion (10-20%) of the funds were placed in the "Special Revenue Fund" over which the Legislature had control. Since it was used primarily for personnel, the Legislature had considerable control over Departmental staff size. In FY 1986, SSBG funds were in the "Federal and Other Special Revenue Fund" category.

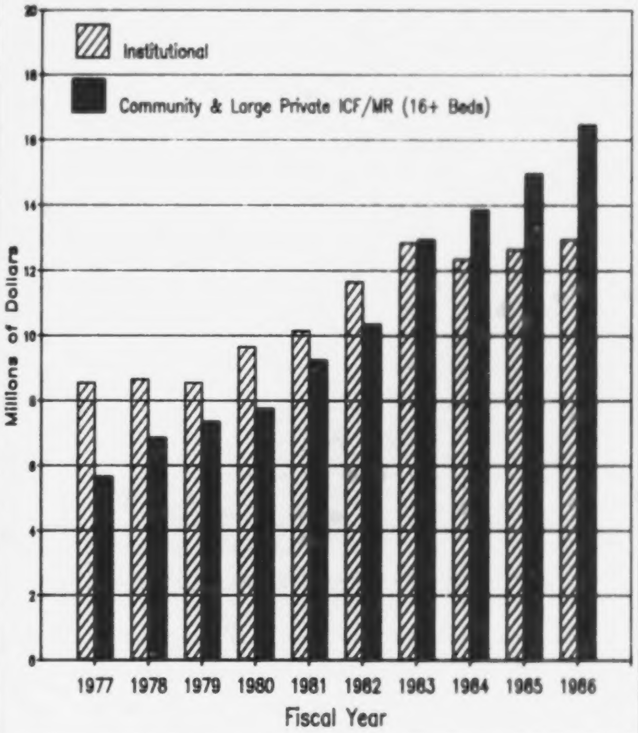
The significant drop in Title XX funds in FY 1982 was due to the fact that Block Grant revenue was paid on a quarterly basis (whereas Title XX had been an annual payment). The last quarter of the federal fiscal year extended three months beyond the state fiscal year, so Montana got only 3 quarters of Block Grant dollars in the state's FY 1982 budget. In addition, federal funds were cut by 25% under the Block Grant, also accounting for the drop, according to Mr. Johns (p.c., telephone, 10/11/83).

The significant increase in Title XX/SSBG funds in FY 1986 was due to the transfer of all SSBG money from throughout the department to the DD Program, replacing general funds.

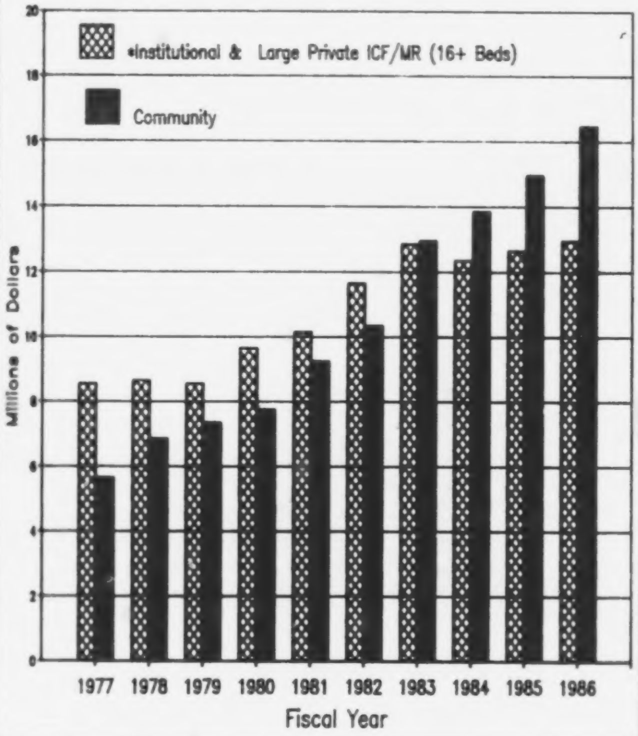
Other Federal Funds were DD Council funds, energy assistance grants, and in FY 1986, 3rd party transfers from the Superintendent of Public Instruction ($150 thousand).

MONTANA

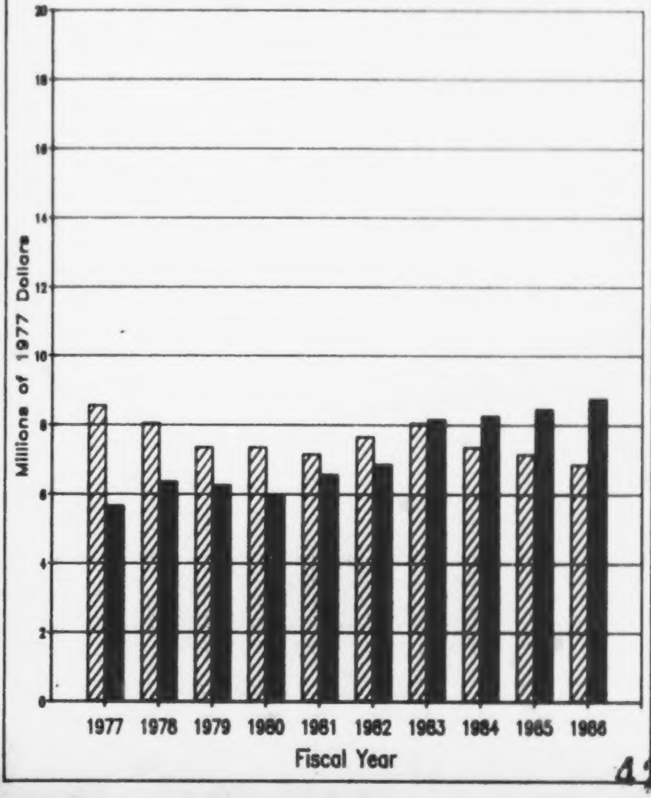
MR/DD Expenditures for *Institutional* & *Community* Services



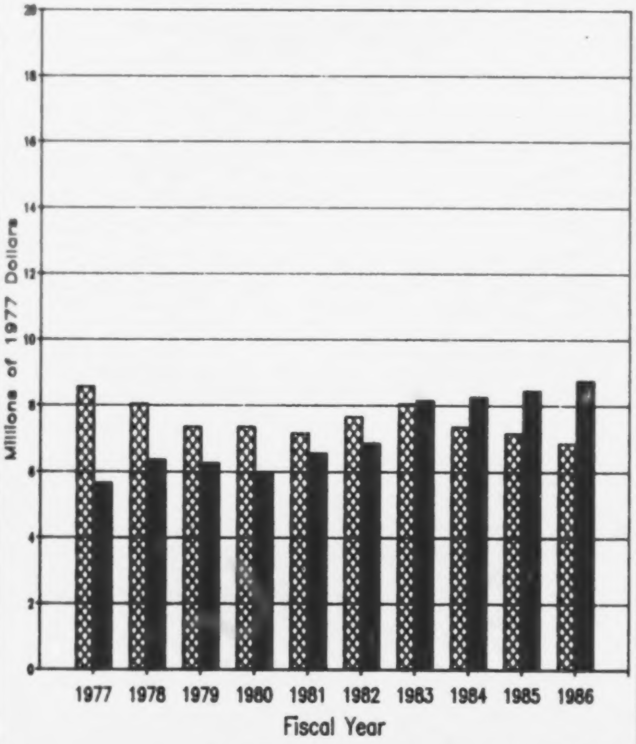
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



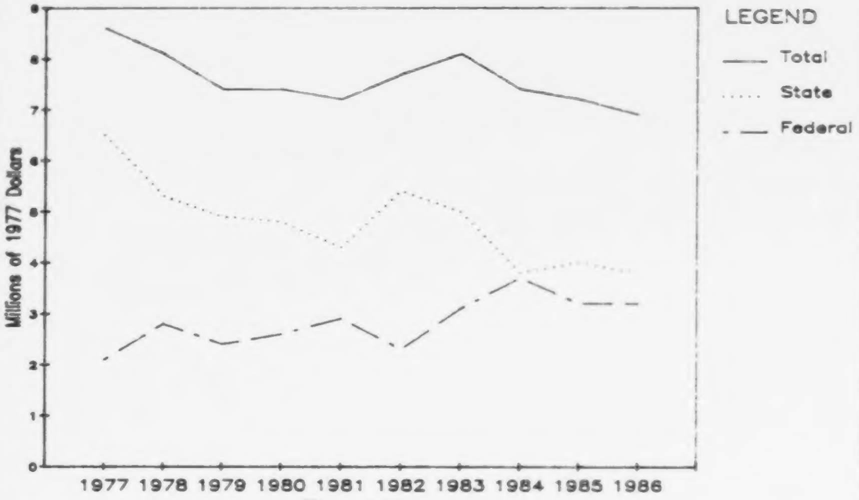
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

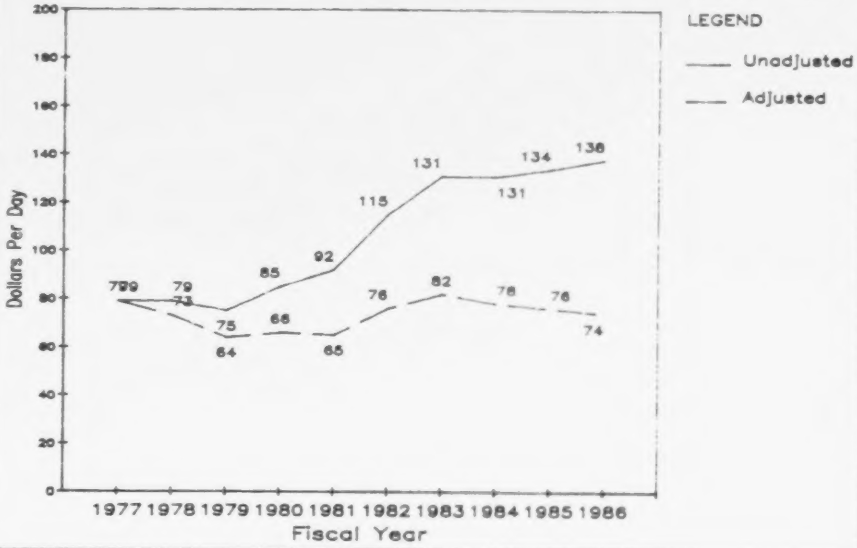
MONTANA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

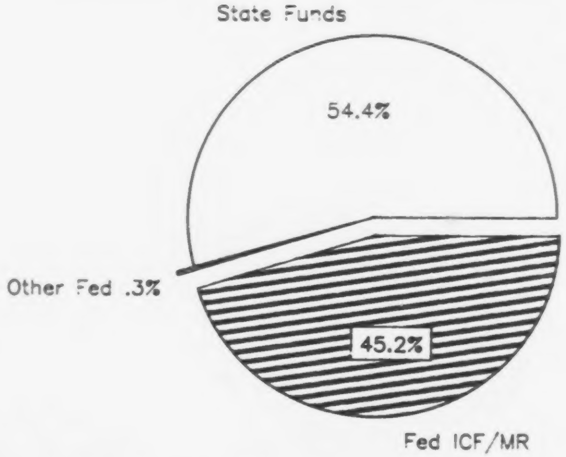


MONTANA

Institutional Per Diem Costs: FY 1977–86

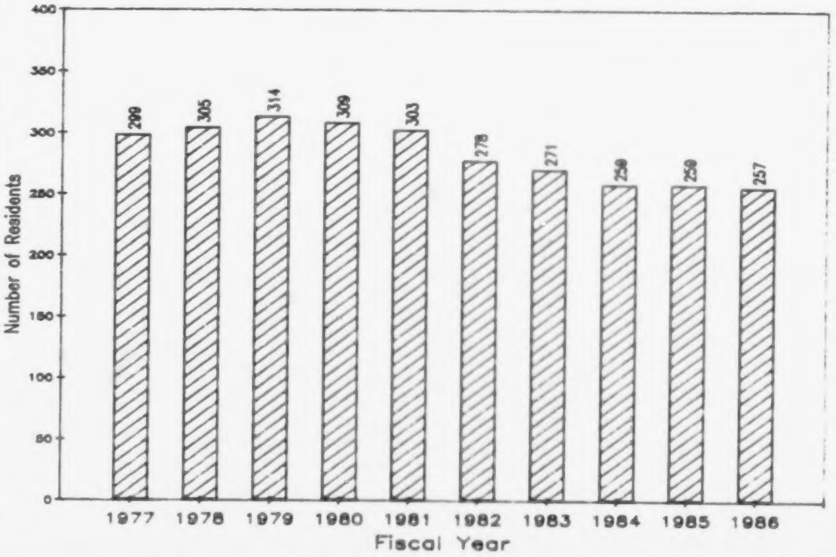


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $13.0 Million

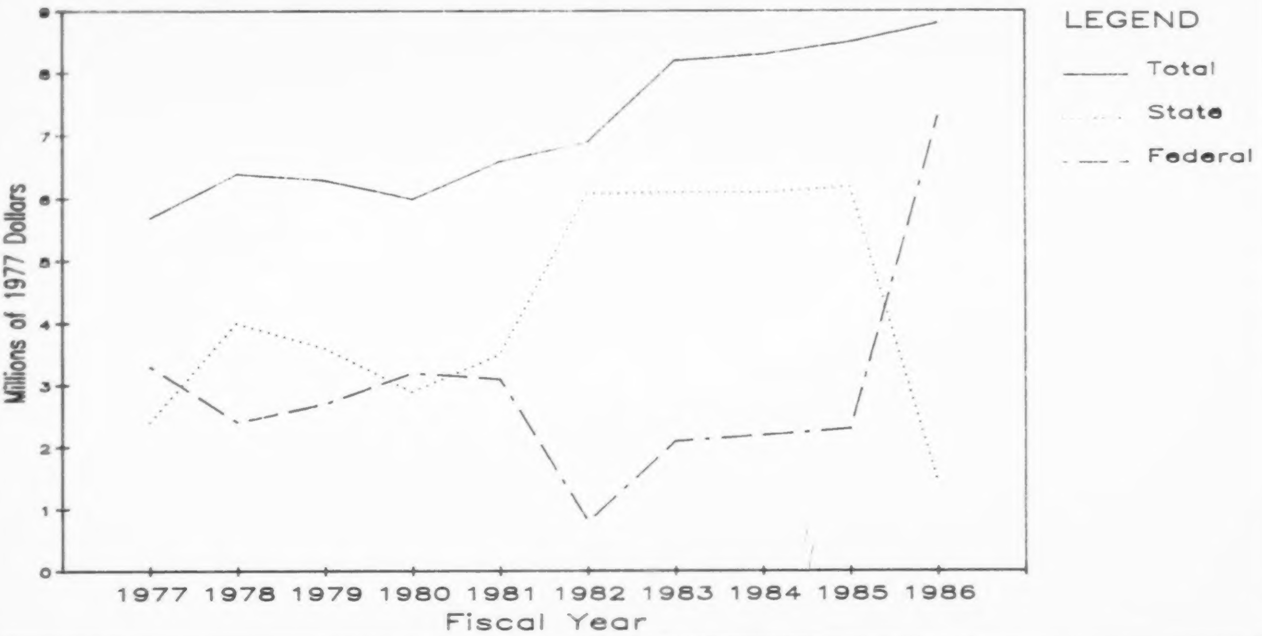
Average Daily Residents in Institutions



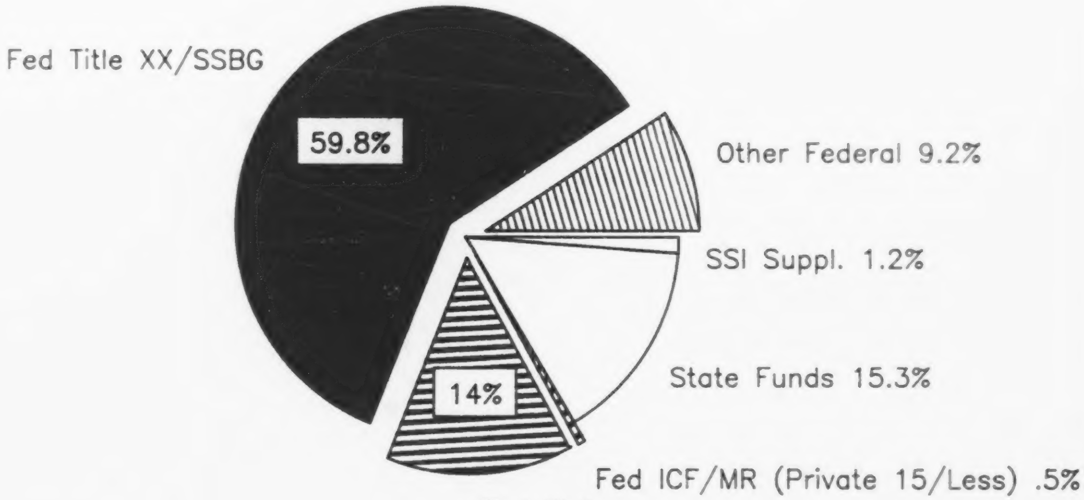
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MONTANA

Community Spending Adjusted for Inflation By Level of Government: FY 1977—86



Community Revenue Detail: FY 1986 (Unadjusted)

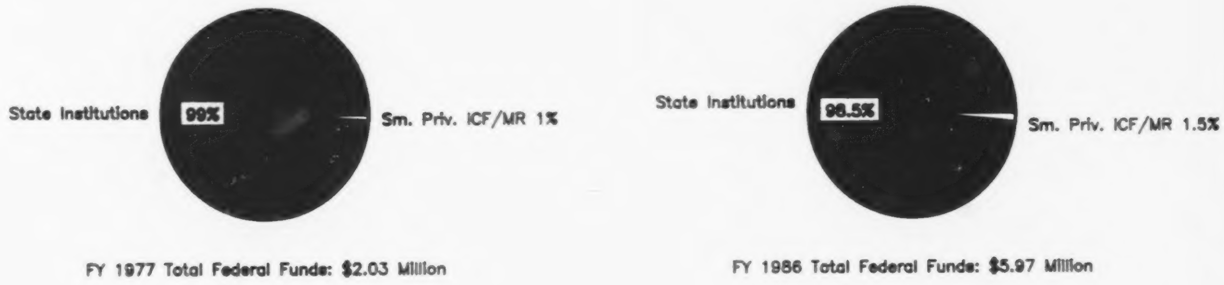


FY 1986 Total Funds: $16.5 Million

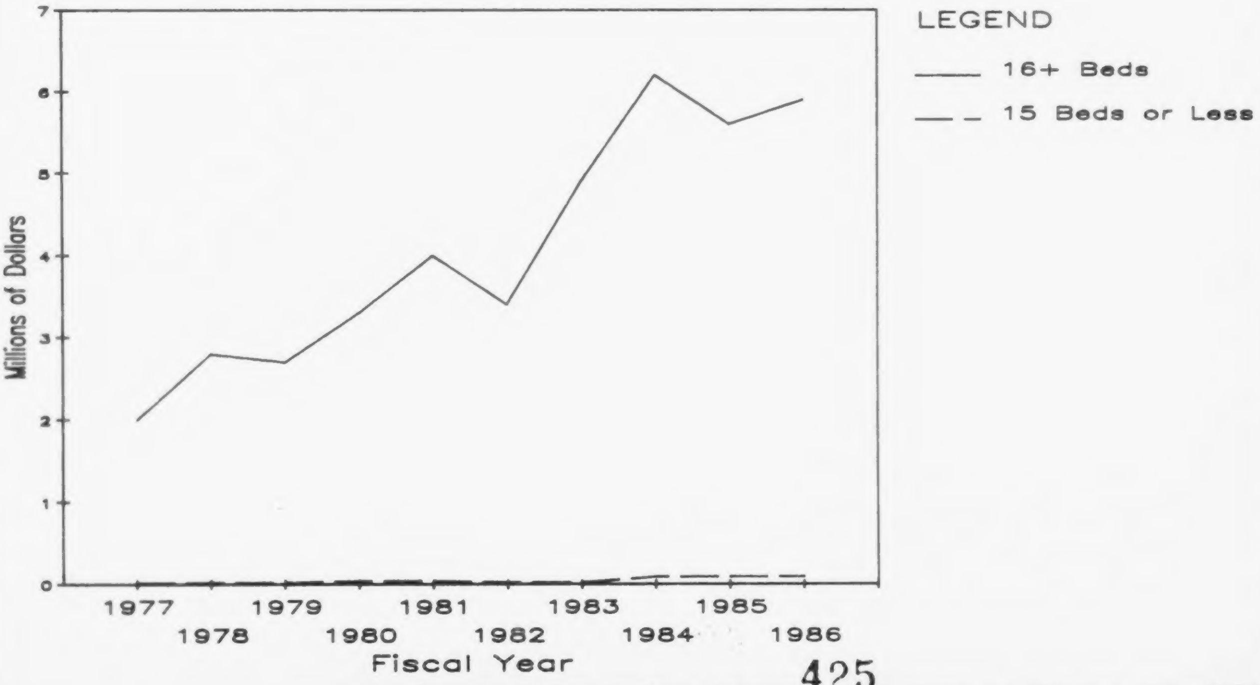
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MONTANA

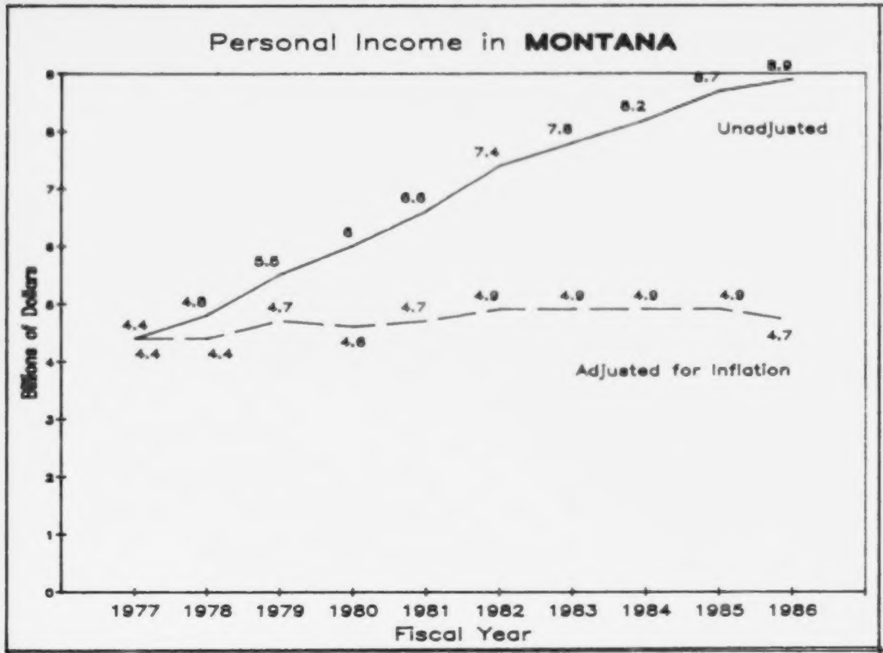
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



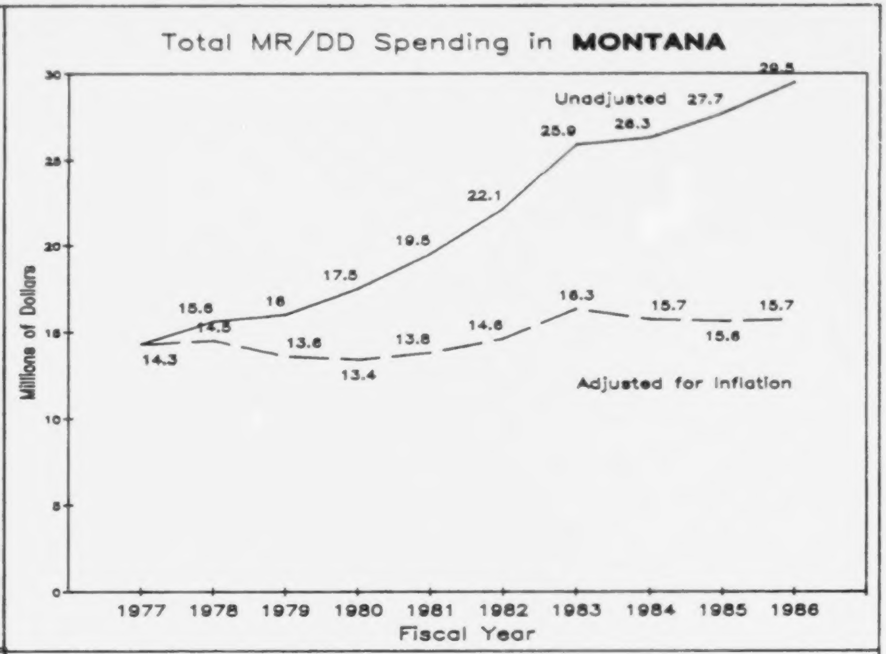
By Facility Size, FY 1977–86



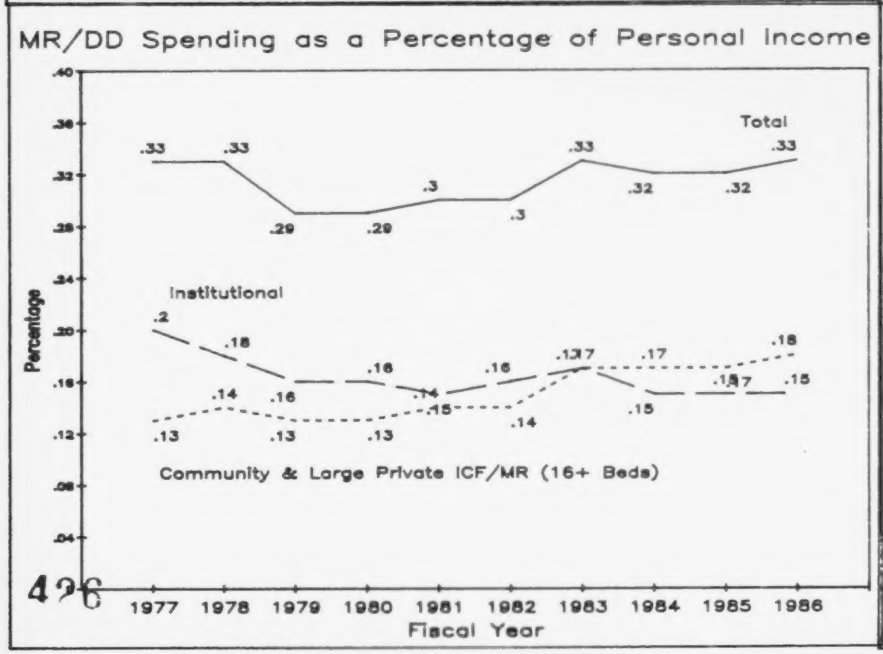
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



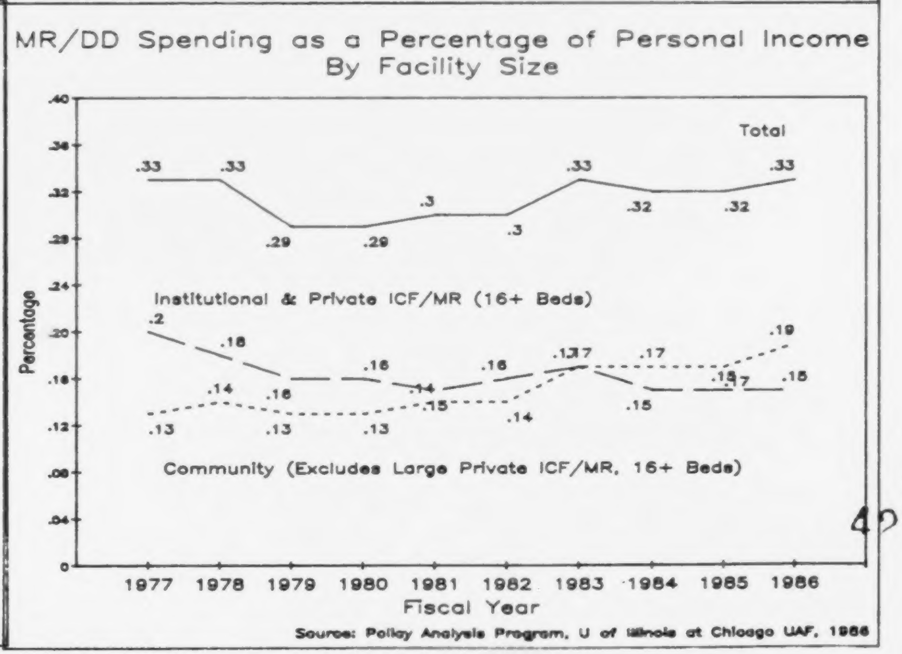
Personal Income in **MONTANA**



Total MR/DD Spending in **MONTANA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

MONTANA 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	17,484,000	19,018,000	19,716,000	21,634,000	24,467,000	27,650,000	31,892,000	32,824,900	34,753,400	37,501,600
TOTAL INSTITUTIONAL/COMMUNITY	14,331,000	15,671,000	16,063,000	17,553,000	19,563,000	22,143,000	25,940,000	26,333,900	27,718,400	29,506,600
STATE FUNDS	9,007,000	10,058,000	10,032,000	10,026,000	10,998,000	17,401,000	17,677,000	16,441,100	18,019,400	9,803,000
General Funds	8,548,000	9,584,000	9,567,000	9,483,000	10,547,000	15,984,000	17,187,000	16,031,200	17,619,600	9,310,800
SSI State Supplement	189,000	214,000	209,000	217,000	225,000	235,000	266,000	245,000	259,000	262,000
Other State Funds	270,000	260,000	256,000	326,000	226,000	1,182,000	224,000	164,900	140,800	230,200
FEDERAL FUNDS	5,324,000	5,613,000	6,031,000	7,527,000	8,565,000	4,742,000	8,263,000	9,892,800	9,699,000	19,703,600
Title XIX Funds	2,033,000	2,850,000	2,754,000	3,308,000	4,071,000	3,693,000	5,428,000	7,089,600	6,674,900	8,321,700
Title XX / SSBG Funds	3,234,000	2,381,000	3,083,000	4,019,000	4,234,000	902,000	2,698,000	1,351,800	1,348,800	9,825,600
Other Federal Funds	57,000	382,000	194,000	200,000	260,000	147,000	137,000	1,451,400	1,675,300	1,556,300
INSTITUTIONAL SERVICES FUNDS	8,606,000	8,740,000	8,628,000	9,652,000	10,165,000	11,680,000	12,911,000	12,395,400	12,682,900	12,983,900
STATE FUNDS	6,534,000	5,716,000	5,772,000	6,255,000	6,036,000	8,160,000	7,988,000	6,151,500	7,029,400	7,056,400
General Funds	6,264,000	5,456,000	5,516,000	5,929,000	5,810,000	6,978,000	7,764,000	5,986,600	6,888,600	6,826,200
Other State Funds	270,000	260,000	256,000	326,000	226,000	1,182,000	224,000	164,900	140,800	230,200
FEDERAL FUNDS	2,072,000	3,024,000	2,856,000	3,397,000	4,129,000	3,520,000	4,923,000	6,243,900	5,653,500	5,927,500
Federal ICF/MR	2,015,000	2,830,000	2,731,000	3,268,000	4,027,000	3,429,000	4,873,000	6,191,300	5,607,700	5,886,700
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	57,000	194,000	125,000	129,000	102,000	91,000	50,000	52,600	45,800	40,800
COMMUNITY WITH FEDERAL INCOME MAINT	8,878,000	10,278,000	11,088,000	11,982,000	14,302,000	15,970,000	18,981,000	20,429,500	22,070,500	24,517,700
COMMUNITY SERVICES FUNDS	5,725,000	6,931,000	7,435,000	7,901,000	9,398,000	10,463,000	13,029,000	13,938,500	15,035,500	16,522,700
STATE FUNDS	2,473,000	4,342,000	4,260,000	3,771,000	4,962,000	9,241,000	9,689,000	10,289,600	10,990,000	2,746,600
General Funds	2,284,000	4,128,000	4,051,000	3,554,000	4,737,000	9,006,000	9,423,000	10,044,600	10,731,000	2,484,600
SSI State Supplement	189,000	214,000	209,000	217,000	225,000	235,000	266,000	245,000	259,000	262,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	3,252,000	2,589,000	3,175,000	4,130,000	4,436,000	1,222,000	3,340,000	3,648,900	4,045,500	13,776,100
ICF/MR Funds	18,000	20,000	23,000	40,000	44,000	20,000	21,000	90,300	86,500	87,100
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	18,000	20,000	23,000	40,000	44,000	20,000	21,000	90,300	86,500	87,100
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	244,000	534,000	808,000	980,700	2,347,900
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	244,000	534,000	808,000	980,700	2,347,900
Title XX / SSBG Funds	3,234,000	2,381,000	3,083,000	4,019,000	4,234,000	902,000	2,698,000	1,351,800	1,348,800	9,825,600
Other Federal Funds	0	188,000	69,000	71,000	158,000	56,000	87,000	1,398,800	1,629,500	1,515,500
FEDERAL INCOME MAINTENANCE	3,153,000	3,347,000	3,653,000	4,081,000	4,904,000	5,507,000	5,952,000	6,491,000	7,035,000	7,995,000
Suppl. Security Income (SSI)	1,961,000	2,023,000	2,109,000	2,247,000	2,601,000	2,944,000	3,185,000	3,631,000	4,283,000	4,655,000
Childhood Disability (SSDI)	1,192,000	1,324,000	1,544,000	1,834,000	2,303,000	2,563,000	2,767,000	2,860,000	2,752,000	3,340,000
F.F.P. Rate	63.21%	61.63%	61.10%	63.45%	64.23%	65.06%	65.34%	64.64%	64.41%	66.38%
Daily Institutional Population	299	305	314	309	303	278	271	259	259	257
Institutional Per Diem	78.86	78.51	75.28	85.34	91.91	115.11	130.53	130.76	134.16	138.41

NEBRASKA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services in Nebraska are managed by the Department of Public Institutions. The Department is responsible for institutional services at Beatrice State Home and at MR Units at Norfolk (FYs 1977-78 only) and at Hastings and Lincoln Mental Health Institutions (latter two closed during FY 1986). The Department also has an Office of Mental Retardation, which oversees community services operations.

Budget Format: Nebraska's budget format was structured as follows:

- Department of Public Institutions
  - Mental Care - Hastings Institution
  - Mental Care - Lincoln Regional Institution
  - Beatrice State Home
  - MR Office - Community
  - Department of Institutions Central Office

[And, for each of these program units, the following fund breakdown:]

  - General Fund
  - Federal Fund
  - Cash Fund

Note on Data Sources. Nebraska Executive Budget documents were reviewed for the FY 1979-81 and FY 1982-84 Biennia; and the Executive Budget for FY 1984 was reviewed. These documents provided "actual" expenditures for FYs 1977, '78, '80, '81 and '82; an "estimated expenditure" for FY 1979, an "appropriation" for FY 1983; and "Governor's Recommendation" for FY 1984. In order to determine Federal ICF/MR and Title XX/SSBG revenue, we contacted James Hanlon, Financial Aid Administrator, Office of MR, Department of Public Institutions (p.c., telephone, 9/14/83). Hanlon provided expenditure figures for Beatrice State Home, and for community services. The figures were categorized as "actual" for FY 1977-82; "un-audited" for FY 1983 and "appropriated" for FY 1984. The fund sources reported by Hanlon (and our reclassification for the analysis) were:

Beatrice State Home:
"State General Fund". . . . . Institutional Services General Fund
"Federal" . . . . Title XIX
"Cash Funds (client payments, county charges)" . . . . Other State Funds

Community Services:
"State General Fund". . . . . Community Services General Funds
"Title XX Federal" . . . . . Title XX
"County Funds" . . . . Other State Funds
"Other (local non-tax source, SSI,etc.)". . . . . [excluded from the Analysis]

The Other category reported above for community services, from local non-tax sources, was excluded from the current analysis consistent with the project's general definitions.

In addition to Beatrice State Home, institutional services included units within state mental institutions serving individuals with mental retardation/developmental disabilities. The following process was used to calculate the Lincoln, Hastings and Norfolk units' expenditures:

a. Correspondence (Mary L. Steiner, Research Analyst, Division of Research and Statistics, Department of Public Welfare, 9/20/83) provided Public and Private ICF/MR figures for FY 1980-84. For FY 1977-79, figures were provided for total ICF/MR payments and total Title XIX (Medicaid) settlements, for all classes of care (no public/private breakdown).

b. For FY 1977-79, Steiner's information was utilized to estimate ICF/MR settlements at 13.1% of total ICF/MR payments (based on the percentage which ICF/MR constituted of total Title XIX payments, averaged for FY 1980-84). These settlement amounts were then added to total ICF/MR payments for FY 1977-79.

c. The public/private ratios for FY 1977-79 were imputed based on the FY 1980 ratio provided in Steiner's correspondence.

d. State/county share ratios for the private ICF/MR figures were apportioned for FY 1977-79, based on the FY 1980 ratio that was indicated in Steiner's correspondence.

Dale Darling, Department of Public Institutions (p.c., telephone, 6/15/84), provided an update of Beatrice expenditures for FY 1981, FY 1982 and FY 1984. Darling also provided "patient days" and per diem costs for Beatrice and for the Hastings, Lincoln and Norfolk MR Units at Mental Health Centers. Although these per diem costs included various cost allocations such as administration and capital--expenditures which our analysis excluded--Darling concurred with our decision to utilize the ratio between the Beatrice per diems and per diems at Hastings/Lincoln, to calculate expenditures. (Norfolk was operational only in FY 1977 with 23 average daily residents and in FY 1978, with 3 average daily residents; therefore, the per diem for this unit was not utilized in the computations of expenditures.) Average daily population figures for Beatrice and for the MR/DD units for FY 1977-83 were obtained from Dale Darling, Department of Public Institutions (p.c., telephone, 6/14/84.)

Expenditure figures and average daily population figures for FY 1984 (actual); FY 1985 (actual); and FY 1986 (budgeted expenditure based on appropriation) for Beatrice State School and for the Hastings and Lincoln units were provided by James Hanlon, Division of Administrative Services, Budget/Grants Management, Department of Public Institutions (p.c., telephone, 2/19/86). He noted that, during FY 1986, the Lincoln and Hastings units were closed, and MR/DD services were merged with Beatrice. Hastings closed November, 1985, and Lincoln closed July, 1985.

Federal ICF/MR revenues were provided by Mary Steiner, Division of Research and Statistics, Department of Public Welfare, (p.c., telephone, 2/3/86) for Beatrice and the two units. Steiner provided actual expenditure figures for the first two years, and budgeted numbers for FY 1986.

The expenditure figures for community services operated by the Office of Mental Retardation were provided by J. Hanlon (p.c., telephone, 2/19/86). He indicated total expenditures, and the fund sources: General Fund; Other State Funds (representing county funds); and Federal Social Services Block Grant (SSBG) revenues.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of expenditures for Beatrice State Home and for MR Units at the Hastings, Lincoln and Norfolk mental institutions (Norfolk operational only in FY 1977 and through July of FY 1978; Lincoln and Hastings closed in July, 1985 and November, 1985, respectively).

Other State Funds consisted of cash funds, client pays and county charge for Beatrice, and an estimated or apportioned amount for the Hastings, Lincoln, and Norfolk MR Units in the years those units were operational.

III. COMMUNITY SERVICES FUNDS

Community services consisted of services budgeted in the Office of Mental Retardation, and private ICFs/MR.

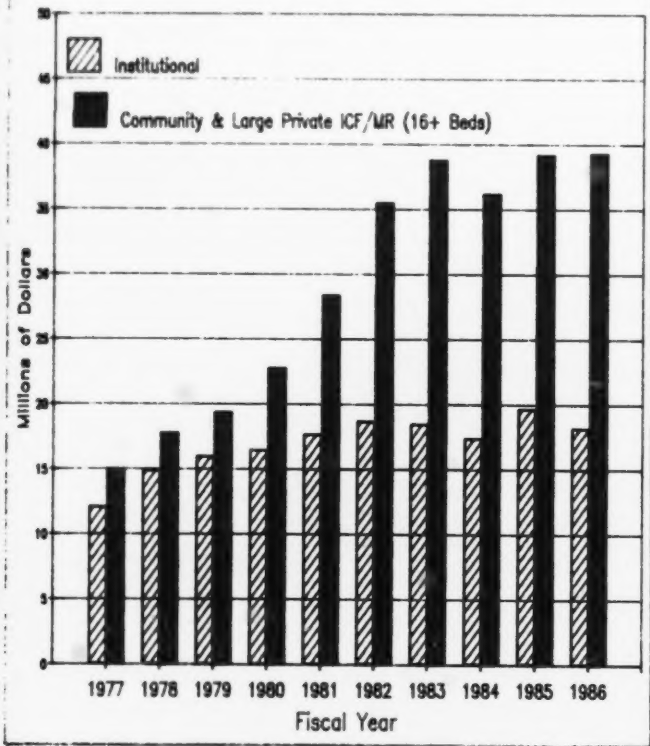
Other State Funds consisted of "county funds-tax source."

Private ICF/MR expenditures consisted of the figures reported by M. Steiner (p.c., correspondence, 9/20/83; telephone, 2/3/86) and as extrapolated--see notes on data sources above. In FY 1986, expenditures consisted of Federal, state and county fund shares for four facilities of approximately 50 beds each. The Federal share was included as Private ICF/MR Large in our analytic format; state and county shares were included in General Fund and Other State Funds, respectively.

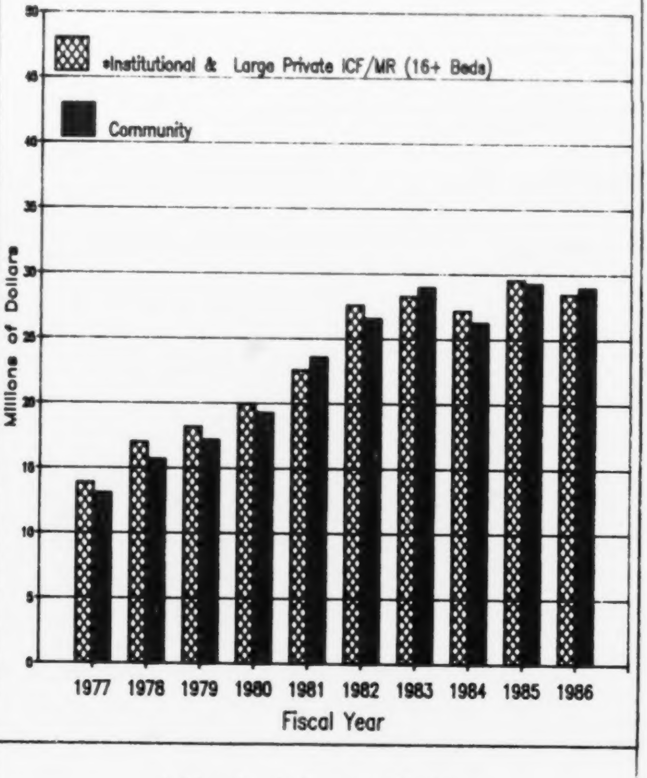
Federal Title XX/SSBG. The state match was included within the community services General Funds category of our analysis.

NEBRASKA

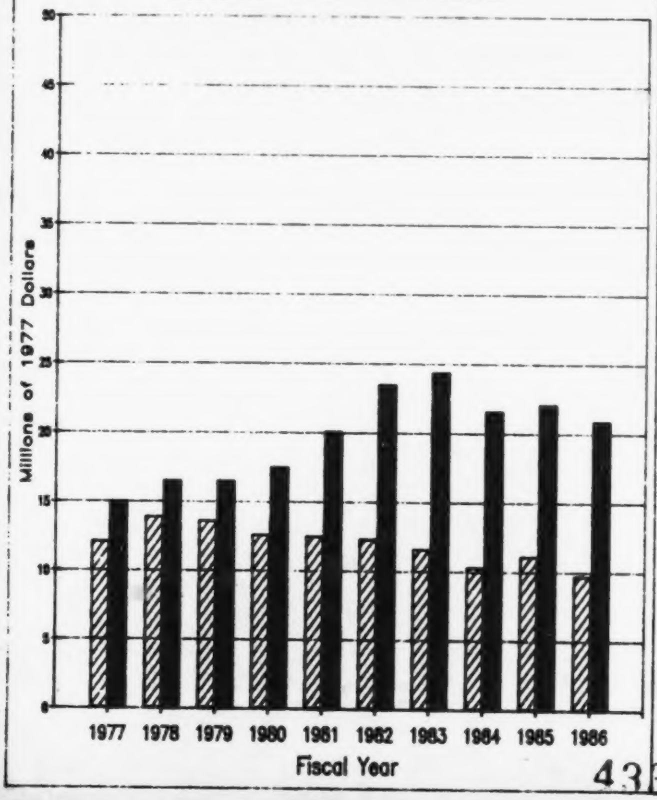
MR/DD Expenditures for *Institutional* & *Community* Services



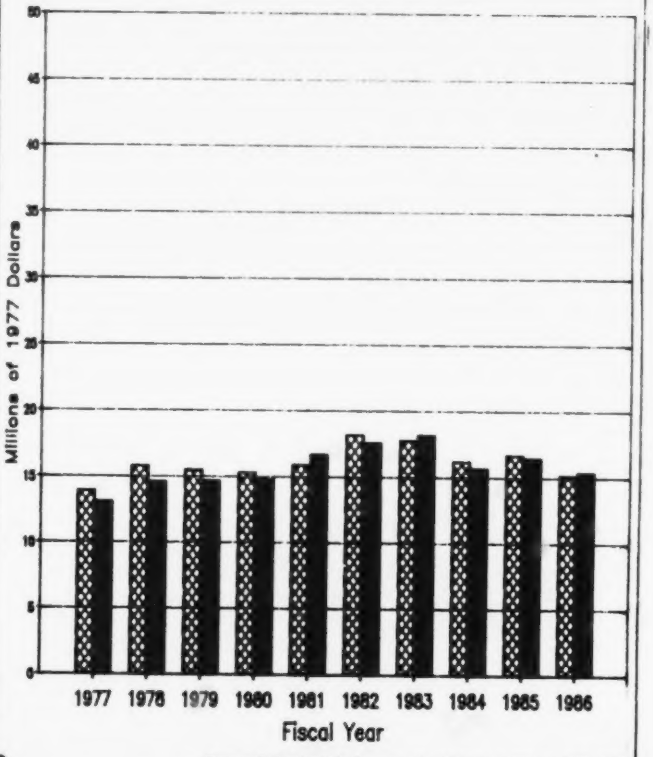
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



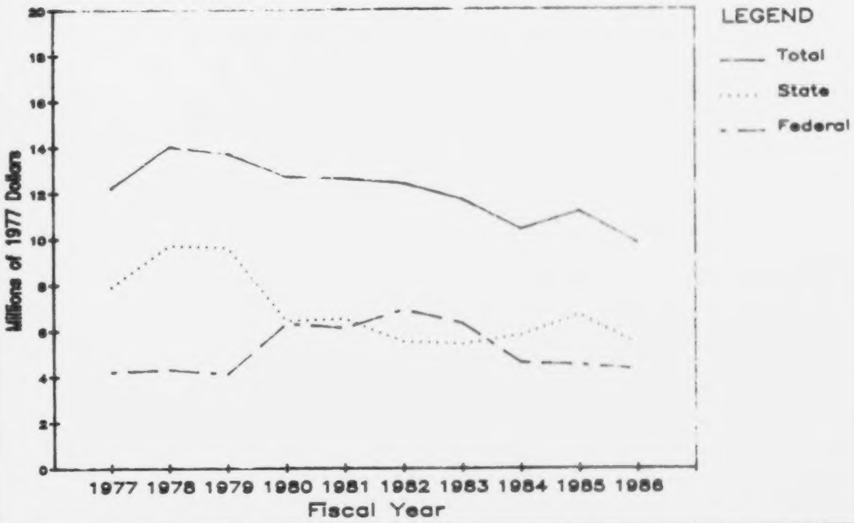
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1[illegible]

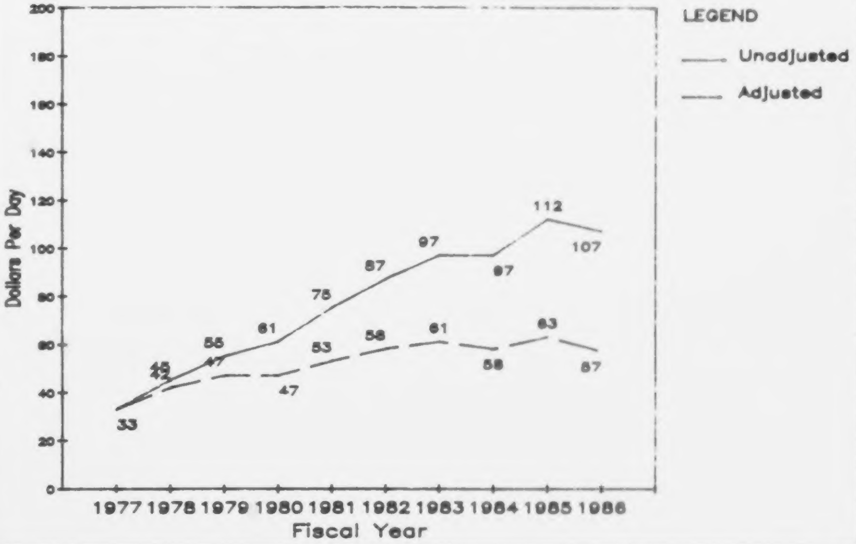
NEBRASKA

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

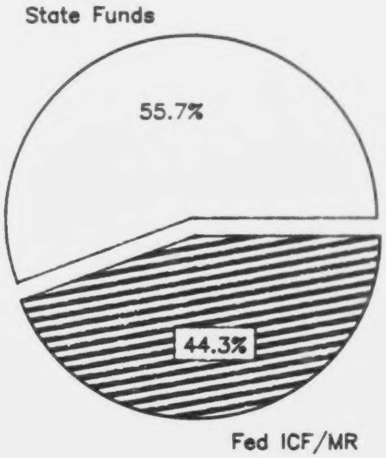


NEBRASKA

Institutional Per Diem Costs: FY 1977–86

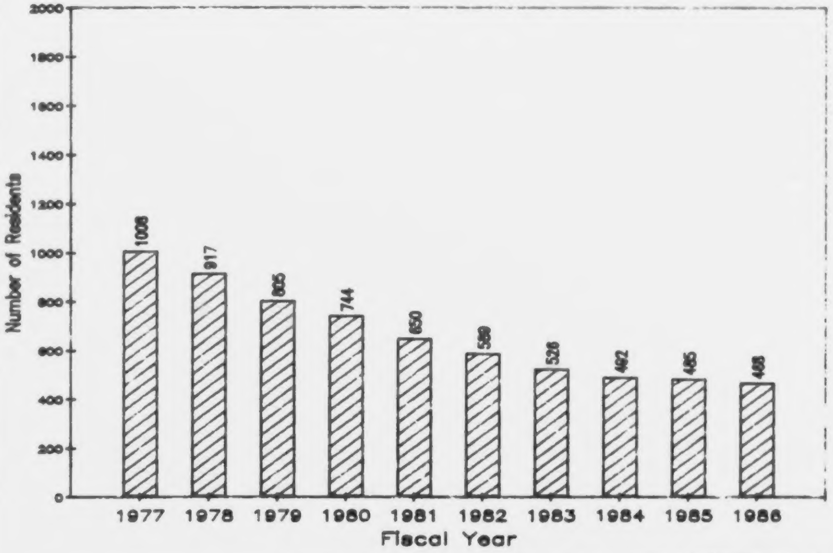


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $18.3 Million

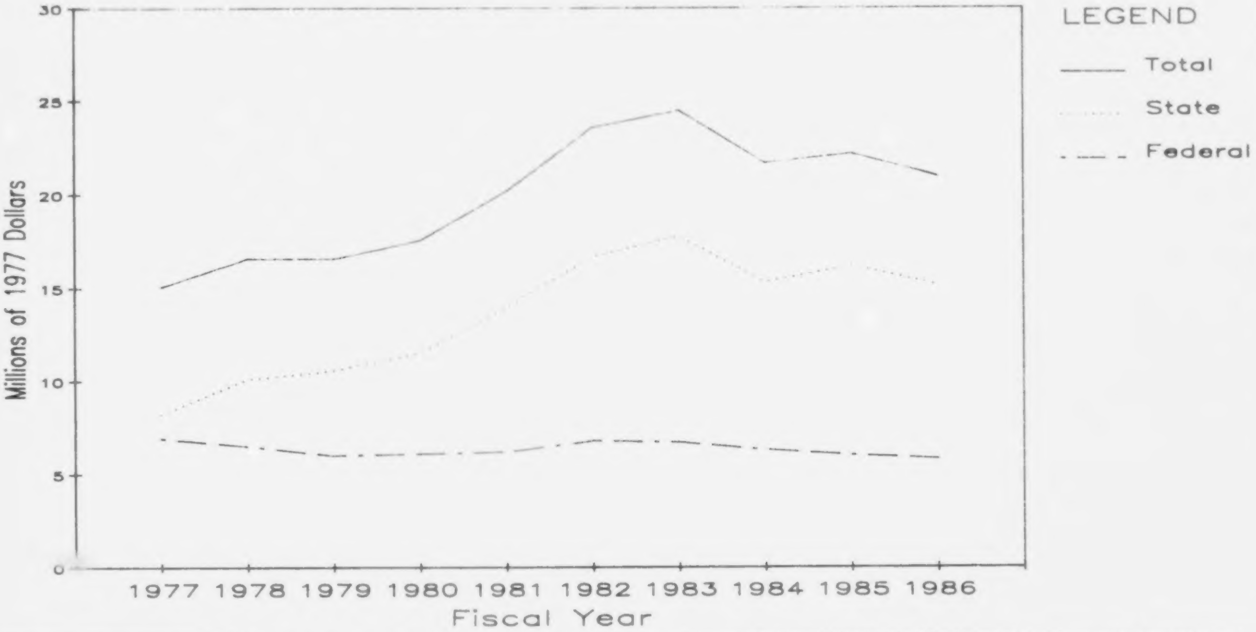
Average Daily Residents in Institutions



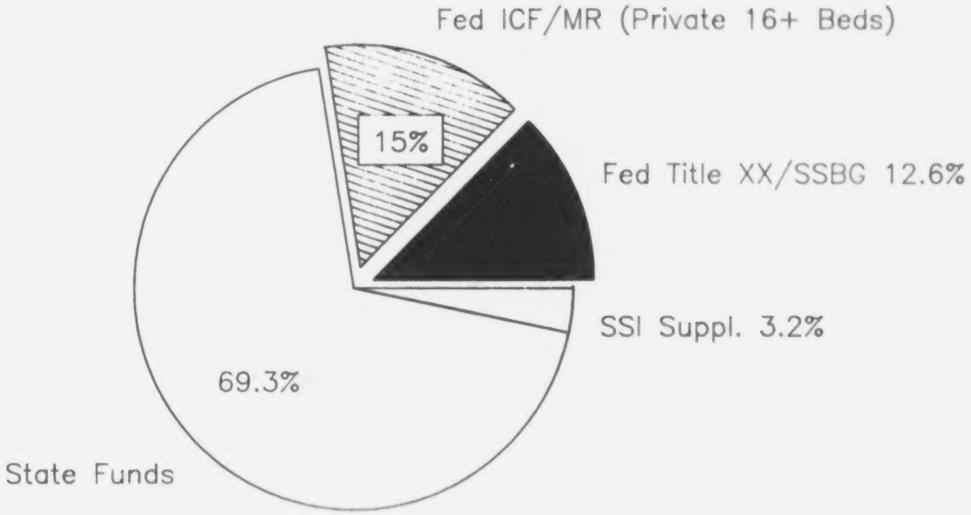
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEBRASKA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

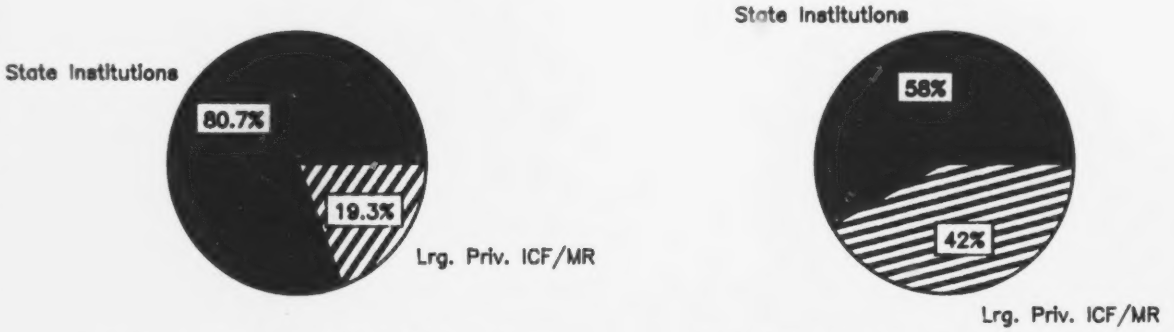


FY 1986 Total Funds: $39.4 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEBRASKA

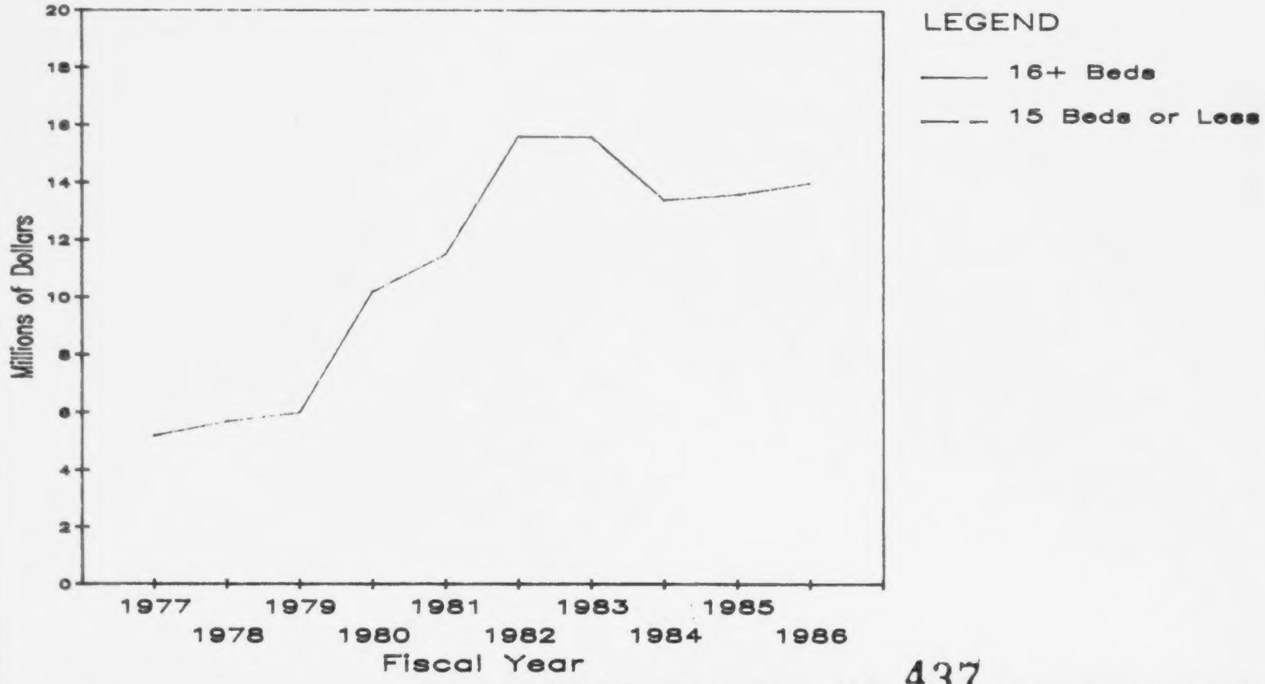
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $5.2 Million

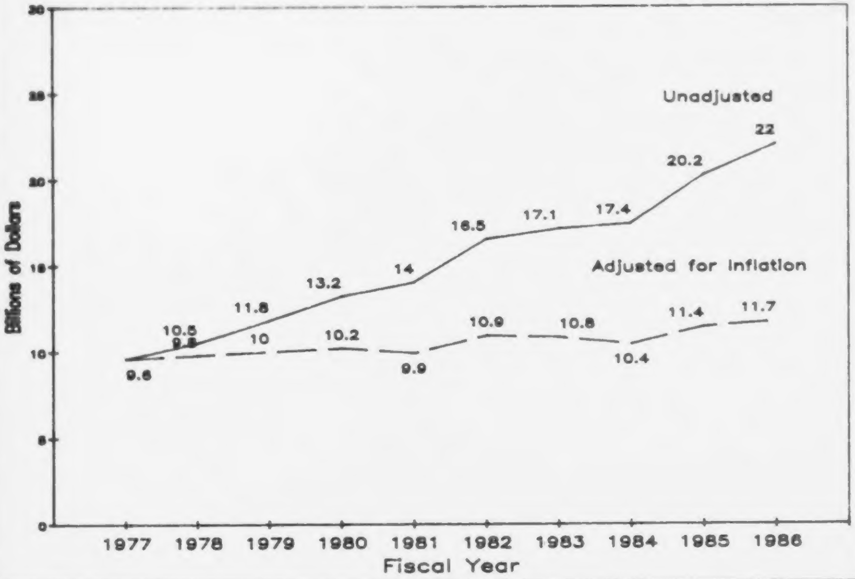
FY 1986 Total Federal Funds: $14.0 Million

By Facility Size, FY 1977–86

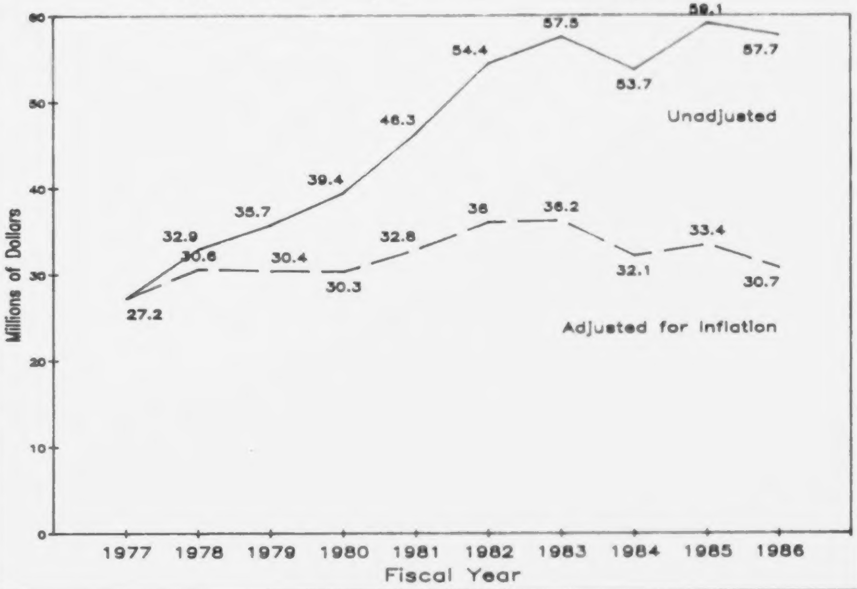


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

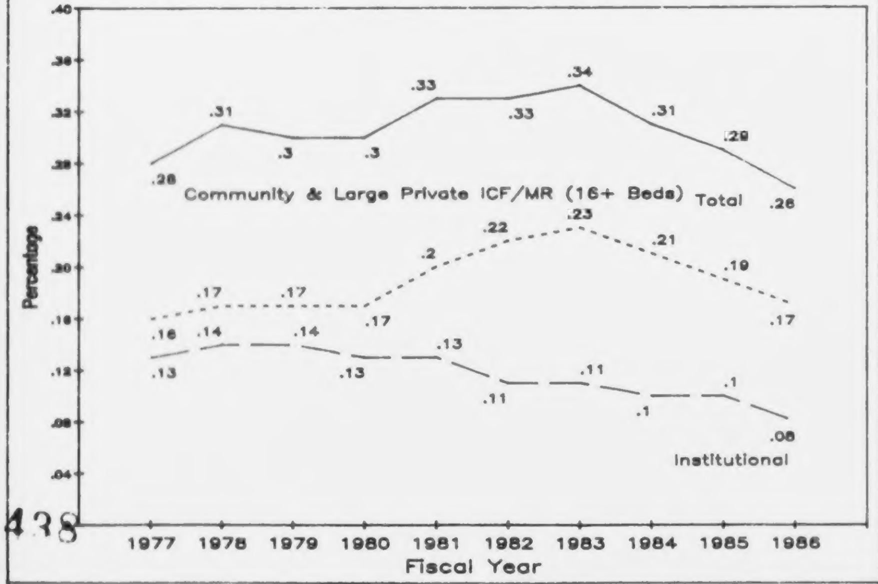
Personal Income in **NEBRASKA**



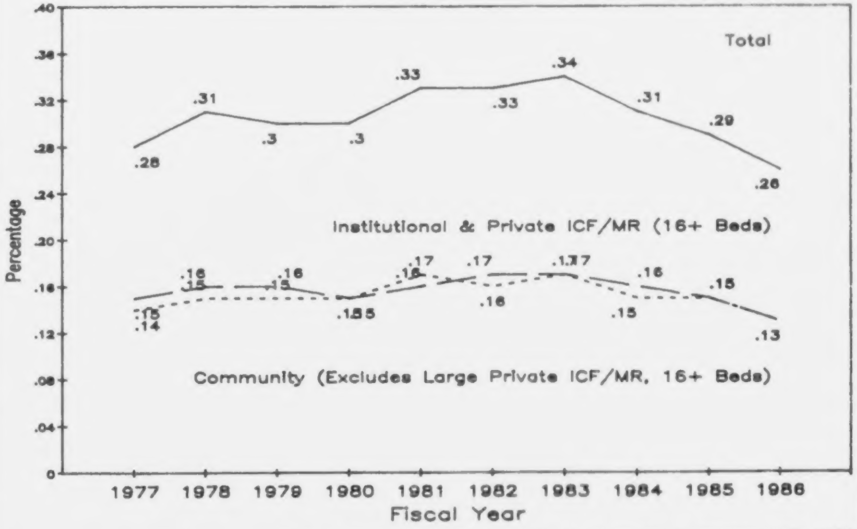
Total MR/DD Spending in **NEBRASKA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEBRASKA 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	33,302,300	39,579,300	43,045,700	47,820,800	56,765,800	66,059,200	70,101,300	67,358,900	74,654,300	73,509,900
TOTAL INSTITUTIONAL/COMMUNITY	27,404,300	33,121,300	35,907,700	39,678,800	46,601,800	54,663,200	57,733,300	54,057,900	59,408,300	57,737,900
STATE FUNDS	16,299,300	21,450,300	23,944,700	23,531,800	29,222,800	33,941,200	37,141,300	35,702,200	40,867,300	38,771,200
General Funds	11,110,800	14,699,500	17,780,300	17,336,500	21,319,100	23,101,600	26,698,600	27,929,400	32,711,400	32,526,400
SSI State Supplement	809,000	1,079,000	1,144,000	1,089,000	1,176,000	1,303,000	1,214,000	1,454,000	1,538,000	1,327,000
Other State Funds	4,379,500	5,671,800	5,020,400	5,106,300	6,727,700	9,536,600	9,228,700	6,318,800	6,617,900	4,917,800
FEDERAL FUNDS	11,105,000	11,671,000	11,963,000	16,147,000	17,379,000	20,722,000	20,592,000	18,355,700	18,541,000	18,966,700
Title XIX Funds	5,230,000	5,746,000	6,038,000	10,222,000	11,454,000	15,589,000	15,648,000	13,411,700	13,597,000	14,022,700
Title XX / SSBG Funds	5,875,000	5,925,000	5,925,000	5,925,000	5,925,000	5,133,000	4,944,000	4,944,000	4,944,000	4,944,000
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
INSTITUTIONAL SERVICES FUNDS	12,166,300	15,013,300	16,137,700	16,558,800	17,828,800	18,801,200	18,576,300	17,475,900	19,807,100	18,316,600
STATE FUNDS	7,948,300	10,379,300	11,267,700	8,314,800	9,157,800	8,378,200	8,639,300	9,719,500	11,846,300	10,181,600
General Funds	5,895,800	7,307,500	8,779,300	6,357,500	7,143,100	5,798,600	7,069,600	6,818,800	8,373,600	8,009,300
Other State Funds	2,052,500	3,071,800	2,488,400	1,957,300	2,014,700	2,579,600	1,569,700	2,900,700	3,472,700	2,172,300
FEDERAL FUNDS	4,218,000	4,634,000	4,870,000	8,244,000	8,671,000	10,423,000	9,937,000	7,756,400	7,960,800	8,135,000
Federal ICF/MR	4,218,000	4,634,000	4,870,000	8,244,000	8,671,000	10,423,000	9,937,000	7,756,400	7,960,800	8,135,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	21,136,000	24,566,000	26,908,000	31,262,000	38,937,000	47,258,000	51,525,000	49,883,000	54,847,200	55,193,300
COMMUNITY SERVICES FUNDS	15,238,000	18,108,000	19,770,000	23,120,000	28,773,000	35,862,000	39,157,000	36,582,000	39,601,200	39,421,300
STATE FUNDS	8,351,000	11,071,000	12,677,000	15,217,000	20,065,000	25,563,000	28,502,000	25,982,700	29,021,000	28,589,600
General Funds	5,215,000	7,392,000	9,001,000	10,979,000	14,176,000	17,303,000	19,629,000	21,110,600	24,337,800	24,517,100
SSI State Supplement	809,000	1,079,000	1,144,000	1,089,000	1,176,000	1,303,000	1,214,000	1,454,000	1,538,000	1,327,000
Other State Funds	2,327,000	2,600,000	2,532,000	3,149,000	4,713,000	6,957,000	7,659,000	3,418,100	3,145,200	2,745,500
FEDERAL FUNDS	6,887,000	7,037,000	7,093,000	7,903,000	8,708,000	10,299,000	10,655,000	10,599,300	10,580,200	10,831,700
ICF/MR Funds	1,012,000	1,112,000	1,168,000	1,978,000	2,783,000	5,166,000	5,711,000	5,655,300	5,636,200	5,887,700
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	1,012,000	1,112,000	1,168,000	1,978,000	2,783,000	5,166,000	5,711,000	5,655,300	5,636,200	5,887,700
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	5,875,000	5,925,000	5,925,000	5,925,000	5,925,000	5,133,000	4,944,000	4.944,000	4,944,000	4,944,000
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	5,898,000	6,458,000	7,138,000	8,142,000	10,164,000	11,396,000	12,368,000	13,301,000	15,246,000	15,772,000
Suppl. Security Income (SSI)	3,784,000	4,109,000	4,399,000	4,890,000	6,080,000	6,850,000	7,460,000	8,228,000	9,223,000	9,848,000
Childhood Disability (SSDI)	2,114,000	2,349,000	2,739,000	3,252,000	4,084,000	4,546,000	4,908,000	5,073,000	6,023,000	5,924,000
F.F.P. Rate	55.59%	53.99%	53.46%	56.58%	57.62%	58.00%	58.12%	57.38%	57.13%	57.11%
Daily Institutional Population	1,008	917	805	744	650	589	526	492	485	468
Institutional Per Diem	33.07	44.86	54.92	60.81	75.15	87.45	96.76	97.05	111.89	107.23

NEVADA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Community and institutional services in Nevada are administered by the Division of Mental Hygiene and Mental Retardation in the Department of Human Resources.

Budget Format. Revenue source budget categories used in the Nevada Executive Budget, Department of Human Resources, were as follows:

- Department of Human Resources
  - Division of Mental Hygiene and Mental Retardation
    - Southern Nevada Mental Retardation Services
      - Regular Appropriation
      - Reversions
      - Balance Forward from Old Year
      - Balance Forward to New Year
      - Salary Adjustment
      - Federal Department of Energy
      - Developmental Disability
      - Social Services
      - Title XIX SAMI
      - Patient Collections
      - Chapter 1- Special Education
      - Education Grant PL 94-142
      - Summer Camp donations
      - Title XIX Community Waiver
    - Northern Nevada Mental Retardation Services
    - Community Training Centers
    - Residential Placement
    - Special Education Project
    - Mental Hygiene and Mental Retardation Home Care
    - Genetics

Basically the same subdivisions as were listed under "Southern Nevada MR Services" appeared under each program. Also, under each facility was a complete listing of each type of staff position (clinic director, vocational trainer II, etc.), the number of employees, and salaries.

Note on Data Sources. Actual expenditure figures for FYs 1978, 1980 and 1982 were taken from the Biennial Executive Budgets for FYs 1979-81 and FYs 1983-85. Actual expenditures for FYs 1977, 1979, 1981, and 1983-85 were from the Office of the State Comptroller's Budget Status Reports (p.c., correspondence, Sharon Guidera, Senior Management Analyst, Division of MH/MR, 2/14/84 and 3/4/86). FY 1986 legislative appropriation figures were from the Budget Status Reports for FY 1986. The average daily census data for the centers were obtained from the medical records offices of Desert Developmental Center (p.c., telephone, 6/21/84) and Sierra Developmental Center (p.c., telephone, 4/24/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included Northern (Sierra) Developmental Center and Southern (Desert) Developmental Center. In FY 1977, the account was called "Mental Retardation Centers."

State General Funds were from the line, "Appropriations" in the budget documents.

Other State Funds in this analysis were almost exclusively ICF/MR state share funds. Federal ICF/MR funds reported in the budget documents were gross amounts, composed of both state and federal shares. The state share (50% each year) was incorporated in the analysis as Other State Funds. Other revenue sources classified here included small amounts of donations and private pay.

Federal ICF/MR. The Medicaid Community Waiver was budgeted through the developmental centers. The Waiver covered case management of residents who moved to community based homes (p.c., telephone, Jean Wilshur, Budget Division, 8/25/83). In our analysis, the Waiver funds were deducted from the institutional services expenditures and included with community services (see discussion below).

Other Federal Funds were a variety of small federal grants (Chapter I, CETA, and School Lunch).

III. COMMUNITY SERVICES FUNDS

Community services included the following programs from the Executive Budget: "Community Training Centers," "Resident Placement Account," "Community Awareness Project," "Mental Hygiene and MR Home Care," and "Genetics." Also included were the Title XIX Community Waiver funds, ICF/MR revenues from the Department of Welfare, and Title XX funds from the Developmental Centers' budgets.

State General Funds consisted of the budget line, "Regular Appropriations" and the state match for Waiver funds.

Other State Funds included the state Title XIX match for the private ICFs/MR funded through the Department of Welfare, Patient Receipts, SSI (for State clients only), collections from families, and third party payments. (Small amounts of Federal SSI receipts were not separated by the state from the other client fees.)

Private ICF/MR. There was only one private ICF/MR (Eagle Valley Children's Home in Carson City, a 15-bed facility). John Duarte, Department of Welfare (p.c., telephone, 8/30/83) provided estimates for FYs 1977-81 and expenditures for FYs 1982-83. FYs 1984-86 data were obtained from David Hanson, Management Analyst, Department of Welfare (p.c., telephone, 4/21/86).

Title XIX Day Program Funds were from the line, "Title XIX SAMI" under the Community Training Center budget. State share funding was classified under "State General Funds."

Waiver funds were identified in the budgets of the Desert and Sierra Developmental Centers. The amounts were excluded from the institutional services part of our analysis and reclassified here. The state share of Waiver funding was carried in the State General Funds under community services.

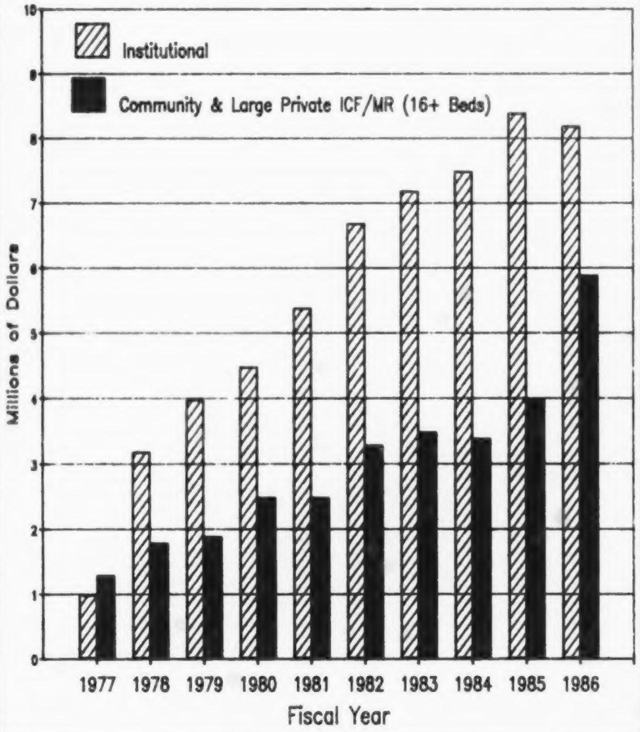
Federal Title XX/SSBG funds were labeled "Social Services" revenue in the Budget. There were Title XX/SSBG funds in the two Developmental Centers' budgets as well as in the various community program elements identified in the State budgets. The amounts appearing in Developmental Centers' budgets were considered community services expenditures in our analysis, to better reflect their actual use in the community. The following amounts of federal Title XX funds were deducted from the Center budgets and labeled Community Services funds ($ in thousands):

State Fiscal Year	Federal Title XX
1977	$112
1978	90
1979	114
1980	155
1981	91
1982	41
1983	0
1984	77
1985	79
1986	2

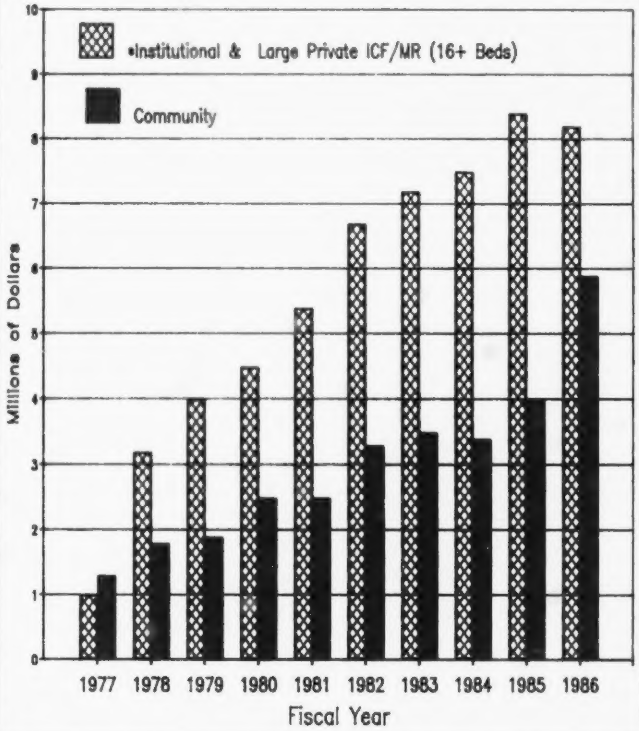
Other Federal Funds were primarily P.L. 89-313 education funds used for the "Community Awareness Project," a special community-based education project.

NEVADA

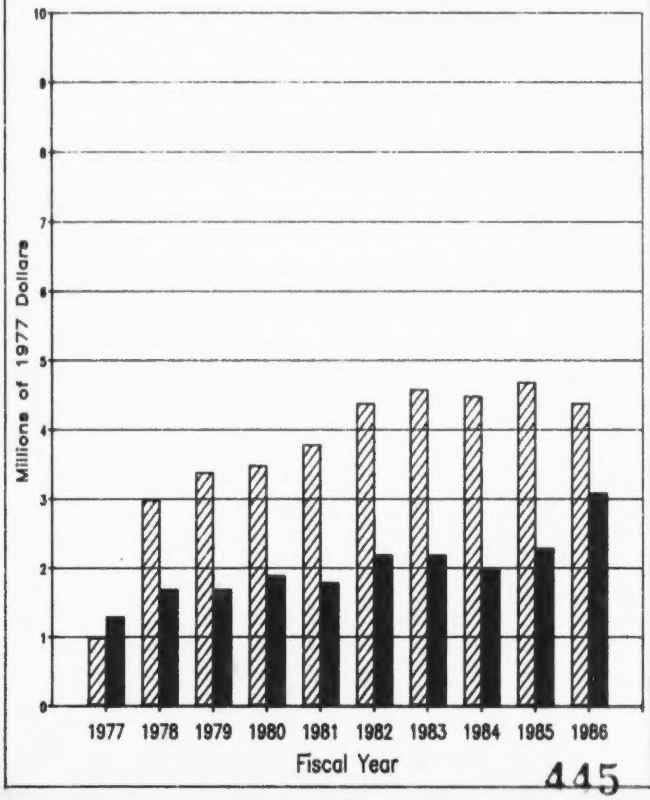
MR/DD Expenditures for *Institutional* & *Community* Services



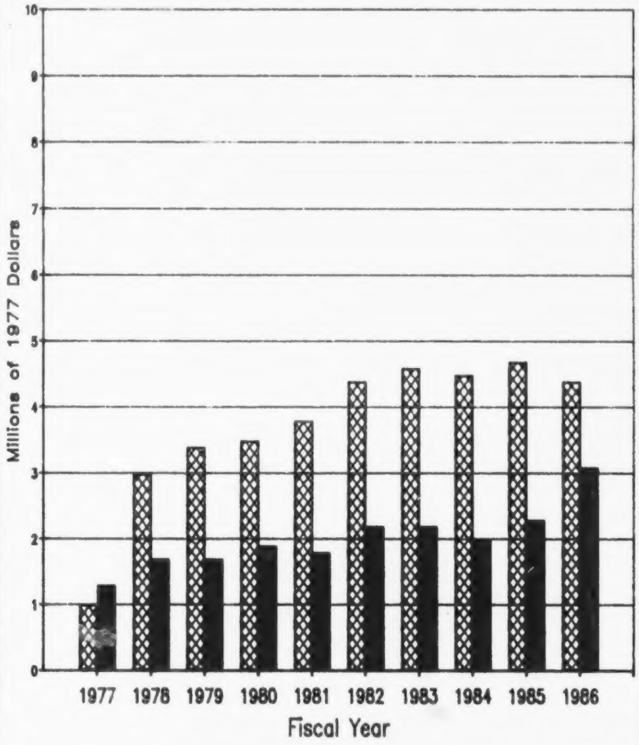
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation

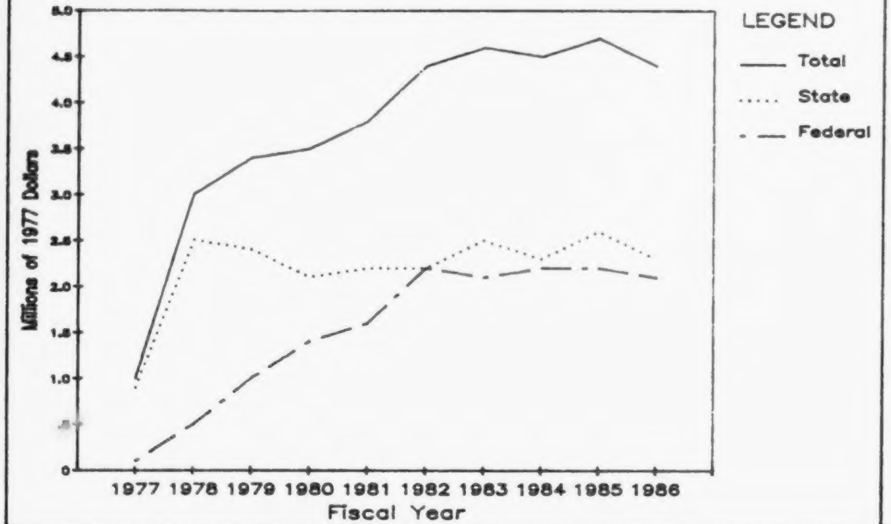


Adjusted for Inflation

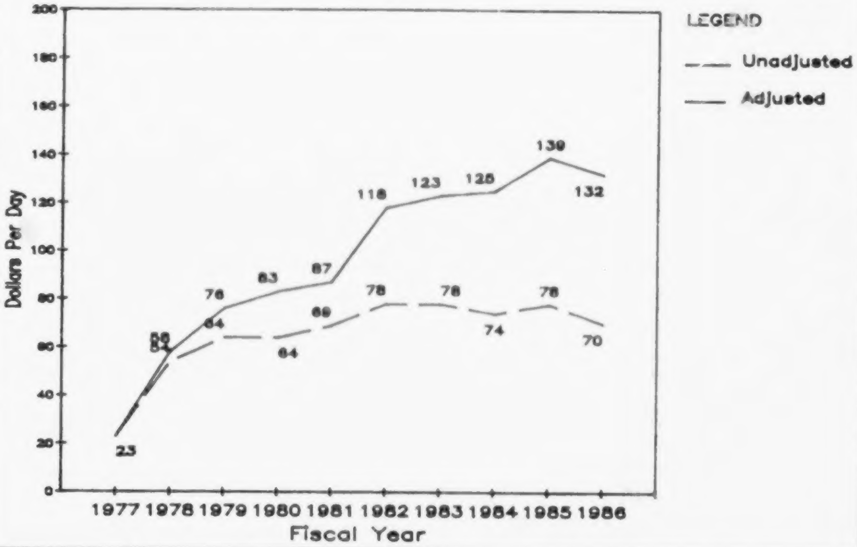


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

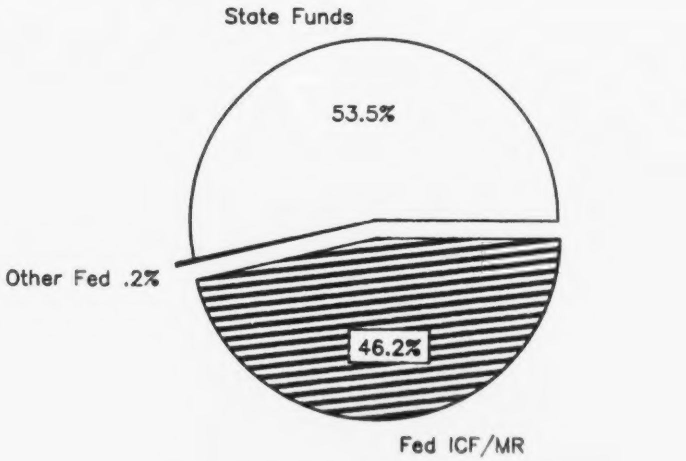
NEVADA
Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86



NEVADA
Institutional Per Diem Costs: FY 1977–86

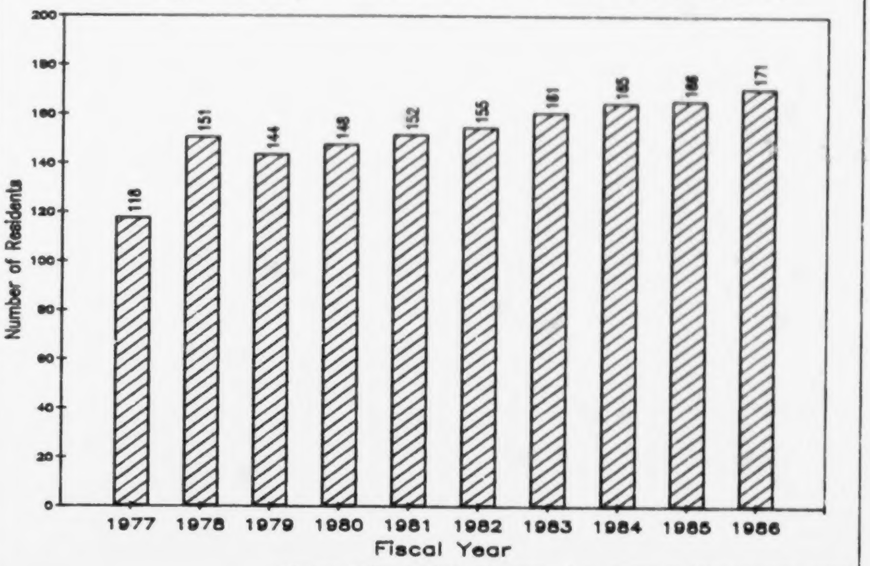


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $8.23 Million

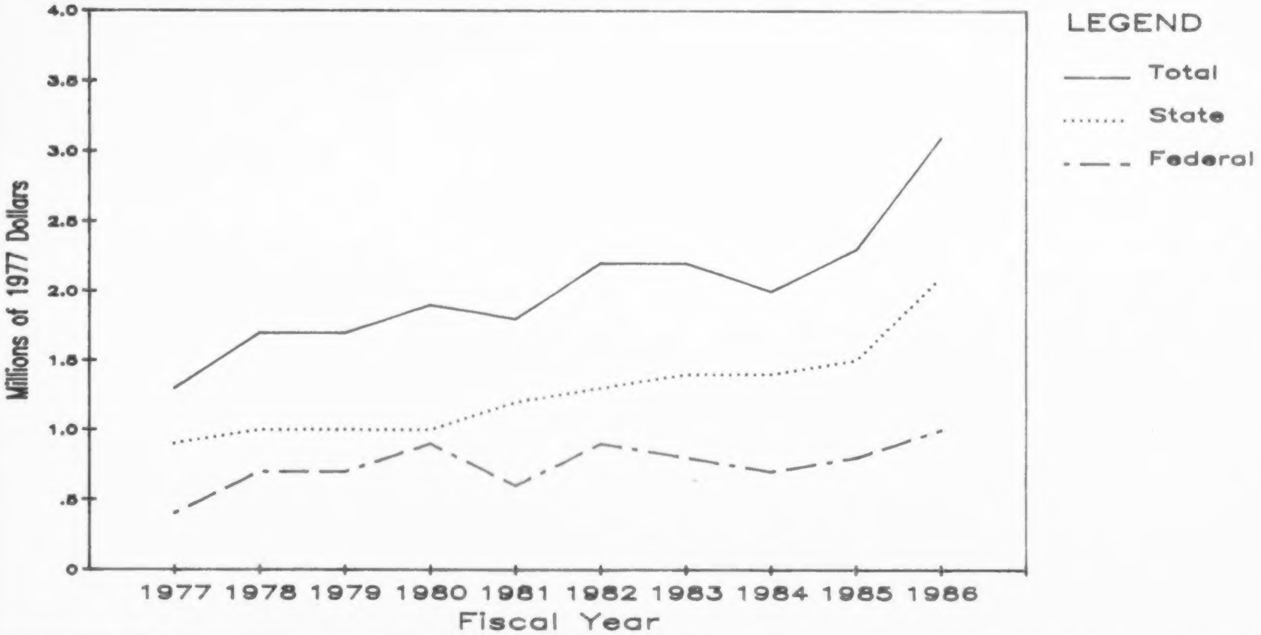
Average Daily Residents in Institutions



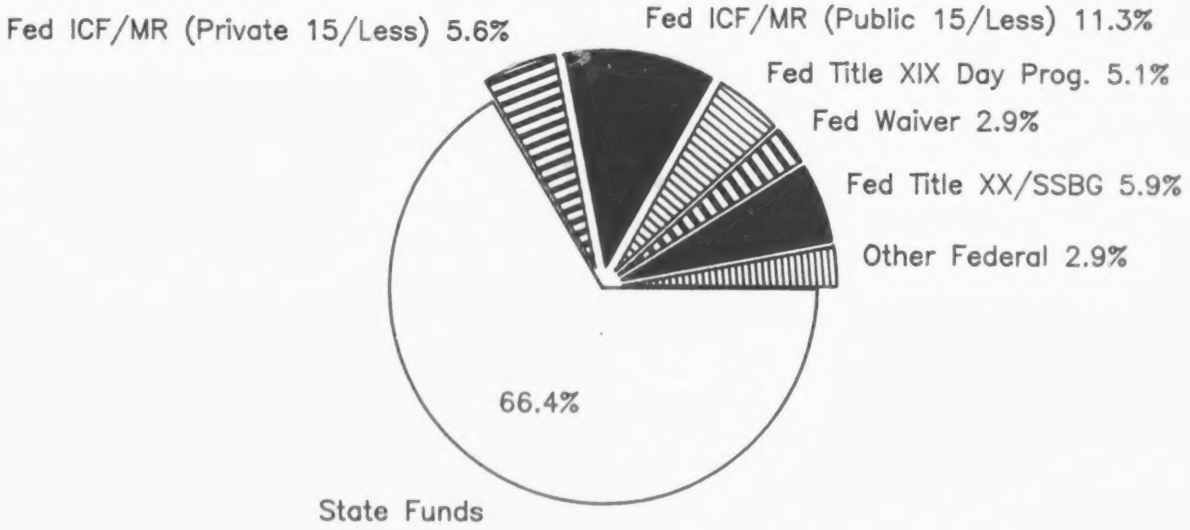
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEVADA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)



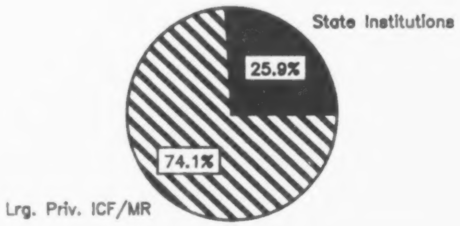
FY 1986 Total Funds: $5.67 Million

448

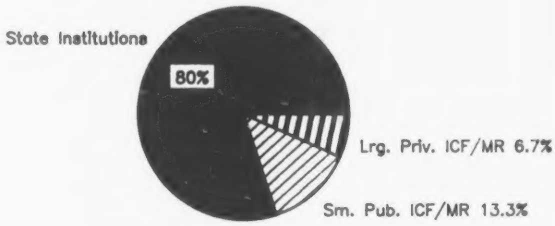
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEVADA

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

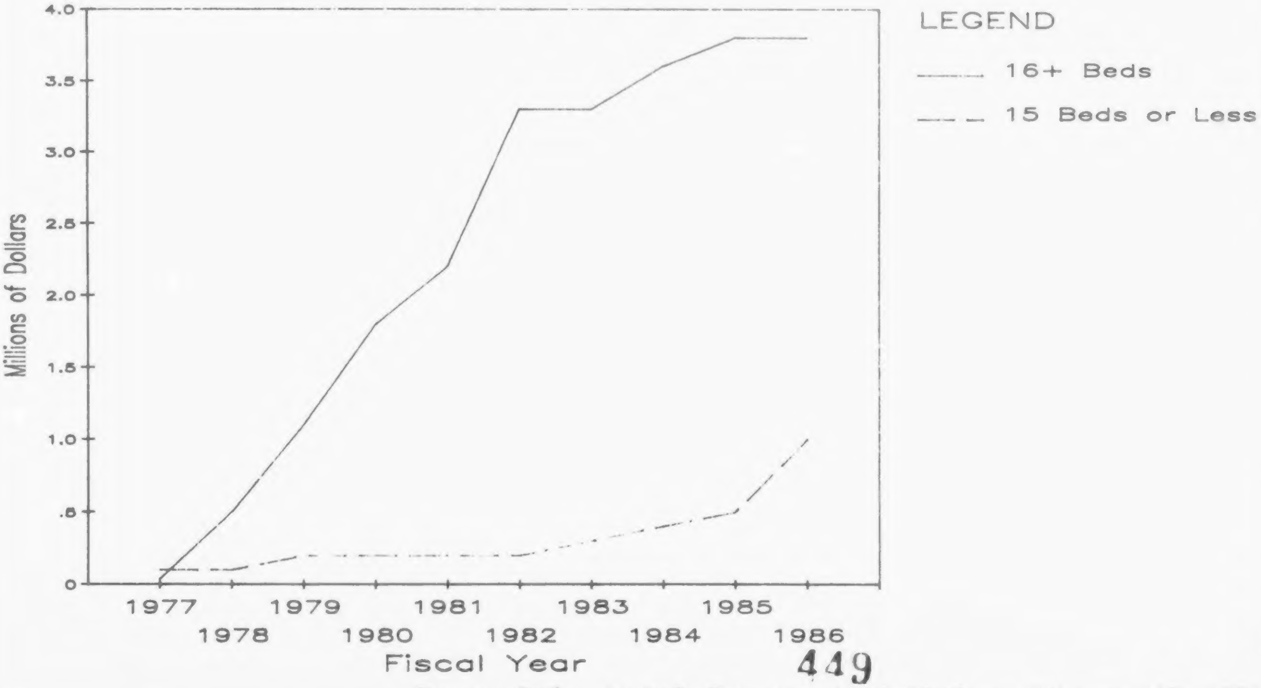


FY 1977 Total Federal Funds: $135 Thousand



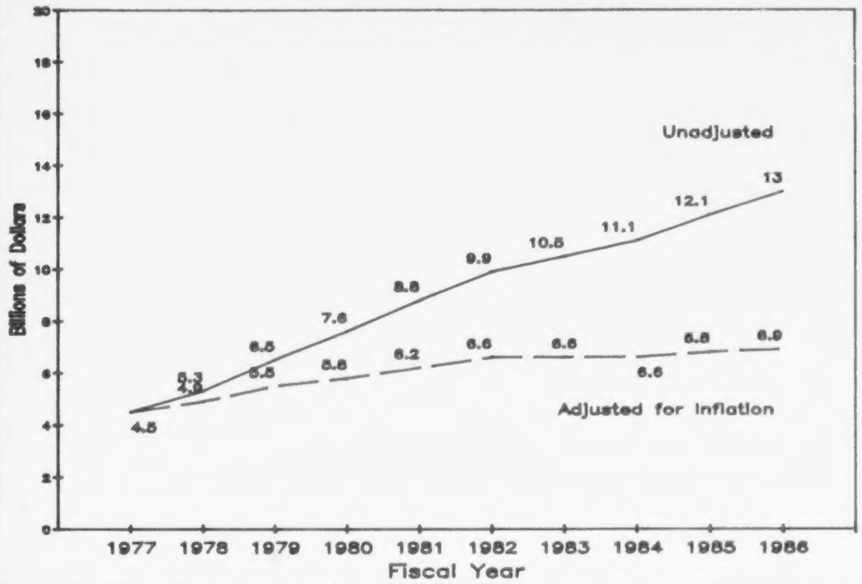
FY 1986 Total Federal Funds: $4.80 Million

By Facility Size, FY 1977–86

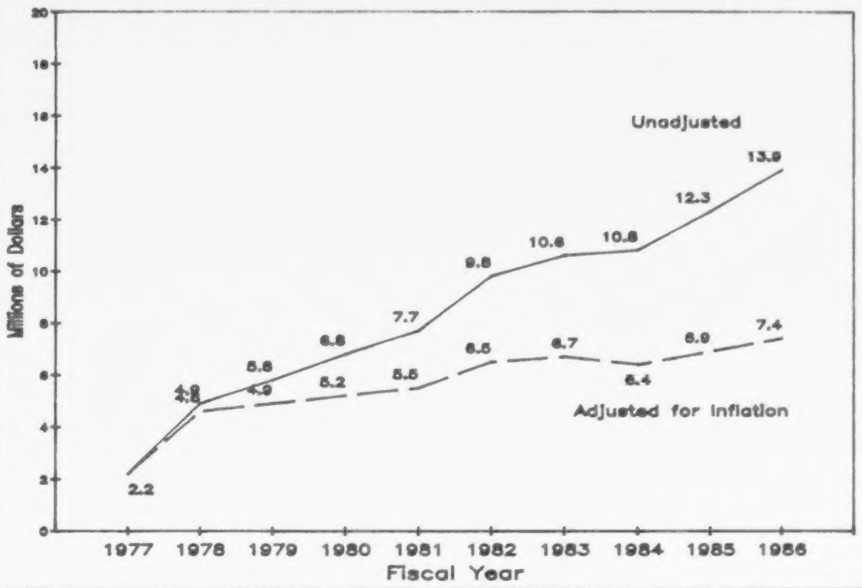


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

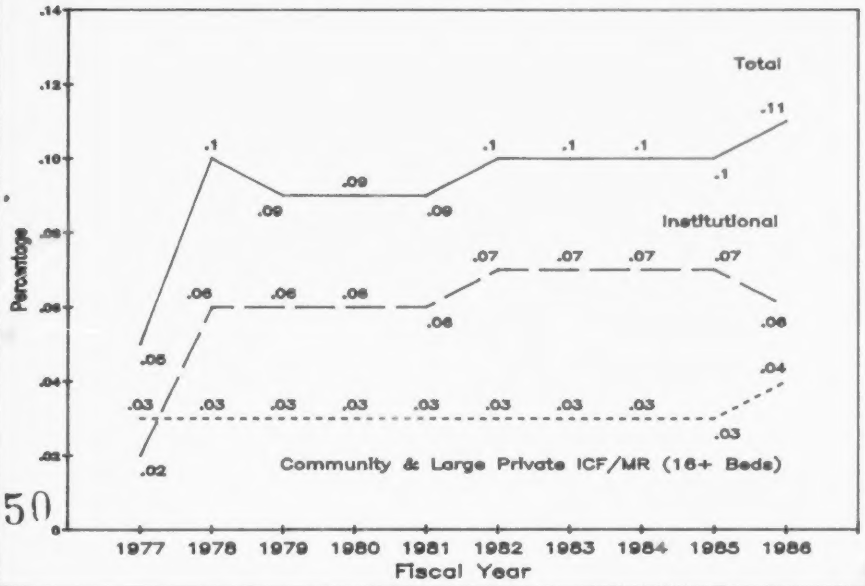
Personal Income in **NEVADA**



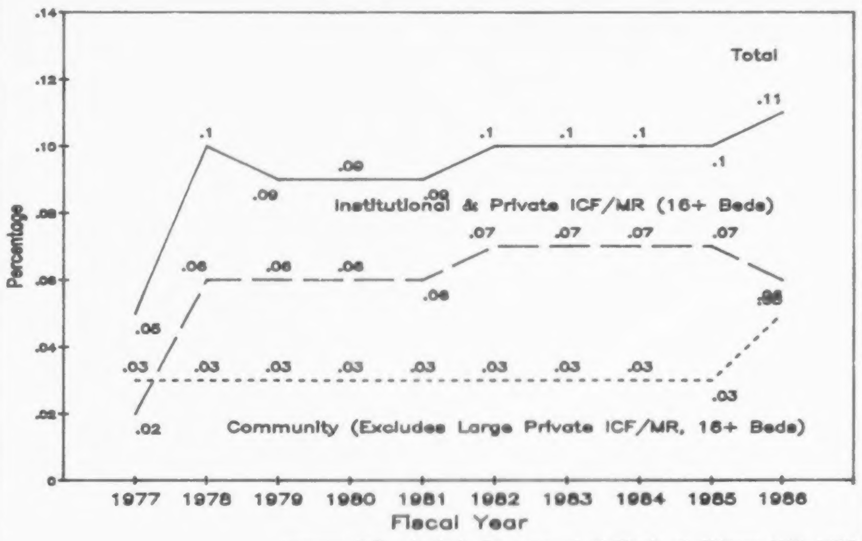
Total MR/DD Spending in the **NEVADA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEVADA 8/29/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	3,711,000	6,607,000	7,710,000	9,125,000	10,619,000	13,037,000	14,161,000	14,813,700	16,521,200	18,890,000
TOTAL INSTITUTIONAL/COMMUNITY	2,206,000	4,930,000	5,773,000	6,826,000	7,745,000	9,763,000	10,576,000	10,787,700	12,254,200	13,897,000
STATE FUNDS	1,706,000	3,606,000	3,815,000	3,876,000	4,698,000	5,050,000	6,022,000	5,979,900	7,027,800	8,130,400
General Funds	1,427,000	2,700,000	2,356,000	1,634,000	1,935,000	1,060,000	1,822,000	1,840,500	1,988,900	3,231,300
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	279,000	906,000	1,459,000	2,242,000	2,763,000	3,990,000	4,200,000	4,139,400	5,038,900	4,899,100
FEDERAL FUNDS	500,000	1,324,000	1,958,000	2,950,000	3,047,000	4,713,000	4,554,000	4,807,800	5,226,400	5,766,600
Title XIX Funds	135,000	656,000	1,265,000	1,986,000	2,419,000	3,537,000	3,697,000	4,312,600	4,695,900	5,250,400
Title XX / SSBG Funds	69,000	455,000	410,000	614,000	460,000	999,000	654,000	327,700	329,500	331,900
Other Federal Funds	296,000	213,000	283,000	350,000	168,000	177,000	203,000	167,500	201,000	184,300
INSTITUTIONAL SERVICES FUNDS	990,000	3,205,000	3,978,000	4,519,000	5,381,000	6,672,000	7,248,000	7,526,100	8,402,400	8,227,200
STATE FUNDS	925,000	2,659,000	2,846,000	2,708,000	3,129,000	3,330,000	3,915,000	3,873,500	4,536,600	4,368,000
General Funds	890,000	2,128,000	1,731,000	897,000	910,000	9,000	627,000	571,800	529,200	526,000
Other State Funds	35,000	531,000	1,115,000	1,811,000	2,219,000	3,321,000	3,288,000	3,301,700	4,007,400	3,842,000
FEDERAL FUNDS	65,000	546,000	1,132,000	1,811,000	2,252,000	3,342,000	3,333,000	3,652,600	3,865,800	3,859,200
Federal ICF/MR	35,000	531,000	1,115,000	1,811,000	2,219,000	3,321,000	3,288,000	3,634,800	3,841,800	3,842,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	30,000	15,000	17,000	0	33,000	21,000	45,000	17,800	24,000	17,200
COMMUNITY WITH FEDERAL INCOME MAINT	2,721,000	3,402,000	3,732,000	4,606,000	5,238,000	6,365,000	6,913,000	7,287,600	8,118,800	10,662,800
COMMUNITY SERVICES FUNDS	1,216,000	1,725,000	1,795,000	2,307,000	2,364,000	3,091,000	3,328,000	3,261,600	3,851,800	5,669,800
STATE FUNDS	781,000	947,000	969,000	1,168,000	1,569,000	1,720,000	2,107,000	2,106,400	2,491,200	3,762,400
General Funds	537,000	572,000	625,000	737,000	1,025,000	1,051,000	1,195,000	1,268,700	1,459,700	2,705,300
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	244,000	375,000	344,000	431,000	544,000	669,000	912,000	837,700	1,031,500	1,057,100
FEDERAL FUNDS	435,000	778,000	826,000	1,139,000	795,000	1,371,000	1,221,000	1,155,200	1,360,600	1,907,400
ICF/MR Funds	100,000	125,000	150,000	175,000	200,000	216,000	320,000	397,500	539,800	954,300
Small Public	0	0	0	0	0	0	92,000	151,400	172,800	637,800
Small Private	100,000	125,000	150,000	175,000	200,000	216,000	228,000	246,100	367,000	316,500
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	89,000	280,300	314,300	454,100
Title XIX Day Programs	0	0	0	0	0	0	89,000	160,700	207,800	290,000
Waiver	0	0	0	0	0	0	0	119,600	106,500	164,100
Title XX / SSBG Funds	69,000	455,000	410,000	614,000	460,000	999,000	654,000	327,700	329,500	331,900
Other Federal Funds	266,000	198,000	266,000	350,000	135,000	156,000	158,000	149,700	177,000	167,100
FEDERAL INCOME MAINTENANCE	1,505,000	1,677,000	1,937,000	2,299,000	2,874,000	3,274,000	3,585,000	4,026,000	4,267,000	4,993,000
Suppl. Security Income (SSI)	708,000	792,000	905,000	1,073,000	1,335,000	1,561,000	1,735,000	2,114,000	2,450,000	2,760,000
Childhood Disability (SSDI)	797,000	885,000	1,032,000	1,226,000	1,539,000	1,713,000	1,850,000	1,912,000	1,817,000	2,233,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
Daily Institutional Population	118	151	144	148	152	155	161	165	166	171
Institutional Per Diem	22.99	58.15	75.68	83.43	96.99	117.93	123.34	124.62	138.68	131.81

NEW HAMPSHIRE

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. New Hampshire's services are managed by the Office of Developmental Services, within the Division of Mental Health and Developmental Disabilities. This Division is within the Department of Health and Welfare.

Budget Format. The budget documents did not provide the funding source breakdown necessary for our analysis. Community services apparently consisted of "Administration: Office of MR" (FYs 1977-79) and "Administration: Community Developmental Services" (FYs 1980-83); however, the amounts from Federal fund sources were not clear.

Note on Data Sources. The State of New Hampshire Budgets were reviewed for the FYs 1977-79, FYs 1979-81, and FYs 1981-83 biennia. These budget documents provided expenditure figures categorized as "adjusted authorization" for FYs 1977, '79 and '81; "actual" for FYs 1978 and '80; and "Governor's Recommended" for FYs 1982 and '83. We contacted Donald Shumway, Deputy Director of Developmental Services, and in correspondence (9/1/83), Shumway provided expenditure figures for community and institutional services operations. Shumway reported "actual" expenditures for FY 1977-83, and "appropriated" figures for FY 1984. Average daily population figures for institutional services for FYs 1977-84 were provided by Carol Drew, Division of MH/DD (p.c, telephone, 6/27/84).

Revised expenditure figures for institutional services (FYs 1977-84-actual) and expenditure and average daily population figures for FY 1985 (actual) and for FY 1986 (estimated based on appropriation) were received from Carol Drew, Administration and Support, New Hampshire Division of Mental Health and Developmental Disabilities (p.c., correspondence, 3/13/86). The figures represented spending for the Laconia State School (FYs 1977-86) and the Tokey Unit at New Hampshire State Hospital, which opened in FY 1985 (45 beds), and which consisted of 32 beds during FY 1986.

The revised expenditure figures were lower than those included previously; for example, $6,832.0 thousand in FY 1977 compared to the previous figure of $7,241.0 and an actual figure of $ 17,158.0 in FY 1984 compared to the previous estimate of $21,191.0. In revenue sources, the largest variance was also in FY 1984, with a revised Federal ICF/MR figure of $6,963.0 compared to the previous estimate of $4,341.0.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of expenditures for Laconia State School and, for FY 1985 and FY 1986, the Tokey Unit at New Hampshire State Hospital.

III. COMMUNITY SERVICES FUNDS

Community services consisted of General Revenue funding of a variety of habilitation, work-related and other services and in addition other sources of funds as noted below.

Other State Funds consisted primarily of client fees.

Private ICF/MR. Expenditure figures were provided by Carol Drew, Division of MH/DD (p.c., telephone, 6/27/84; correspondence, 3/13/86). There was one facility in the Private ICF/MR Large category, a 24-bed children's facility (Cedar Crest). The Cedar Crest figures were updated by Frank Danieli, Division of MH/MR (p.c., telephone, 3/30/86).

Small Public ICF/MR. Federal ICF/MR reimbursement for small, state-operated group homes was initiated at the beginning of FY 1986, consisting of five facilities, with an average of 7.2 beds per facility.

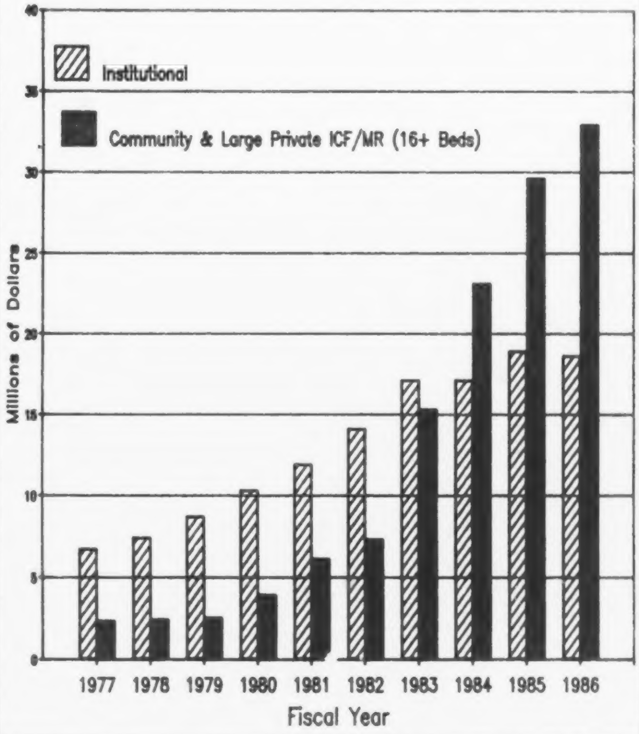
Title XIX Day Program. Federal Title XIX revenues for day habilitation services ranged from $209.0 thousand in FY 1981 to a peak of $1,304.0 in FY 1984, and diminishing to $211.6 in FY 1986.

Waiver. Federal reimbursements under the Community Care Waiver were initiated in FY 1984. Funding under the Waiver supplanted previous day habilitation funding.

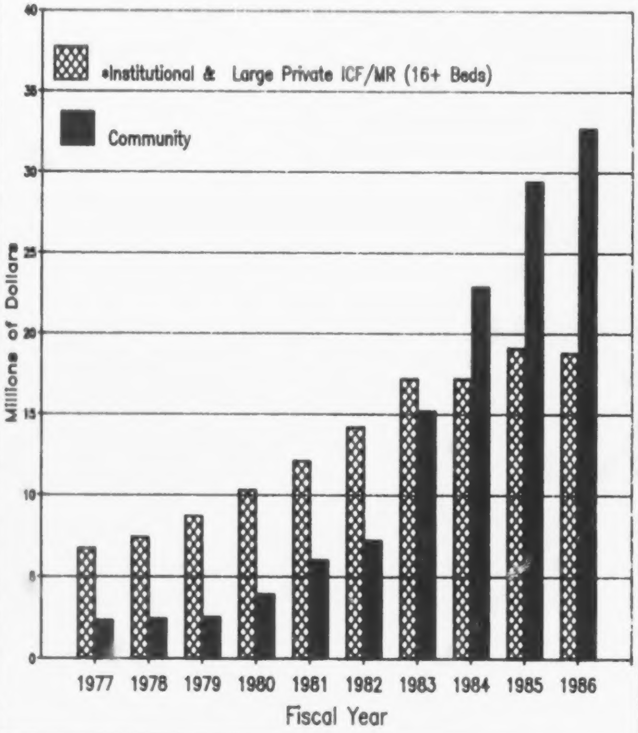
Federal Title XX/SSBG. Federal revenues for FYs 1977-82 were provided by Fred McMenemy, Department of Social Services, and John Fransway of that department (p.c., telephone, 9/19/83). The Department of Social Services administered the program (FYs 1977-82), and the provision of Title XX services reimbursement for MR/DD clients terminated 9/30/82 when the funding for these services was assumed by the Division of MH/DD. The State's match for these Federal Funds was included within the community services General Fund figures in our analysis for FYs 1977-82. Our FYs 1983-86 analysis figures reflect the Division's General Fund expenditures for the services previously supported by Title XX.

Other Federal Funds consisted of expenditure figures reported in the budget documents as "Administration: DD Council."

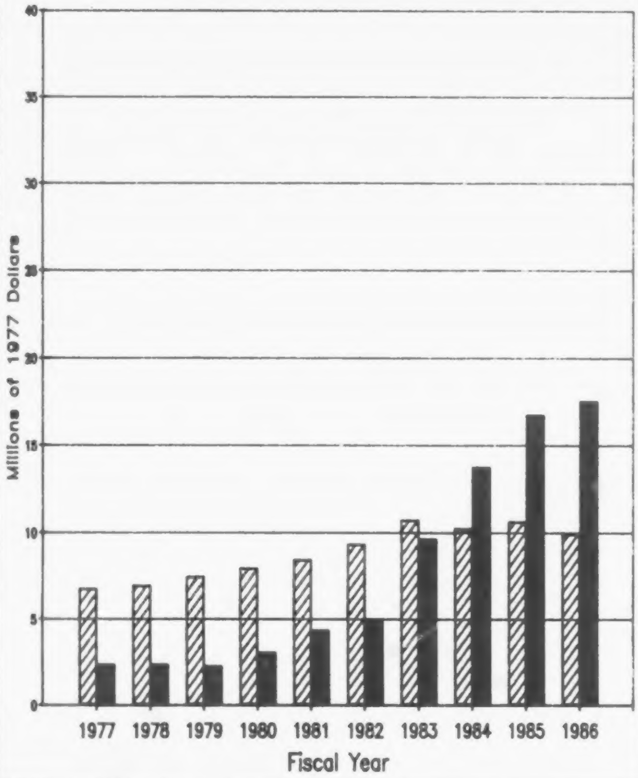
MR/DD Expenditures for *Institutional* & *Community* Services



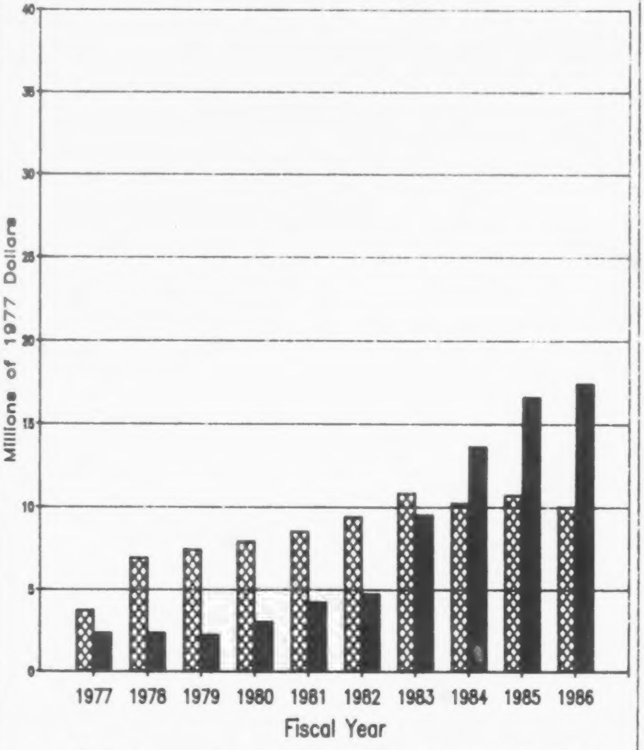
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



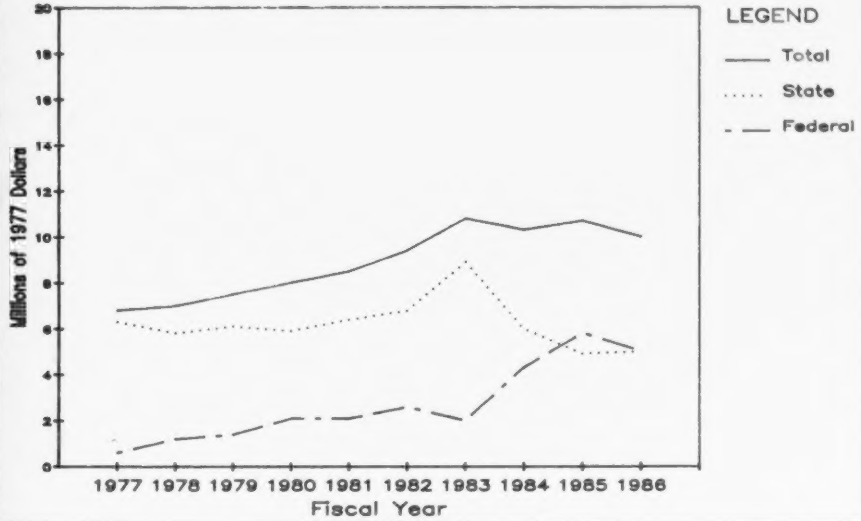
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

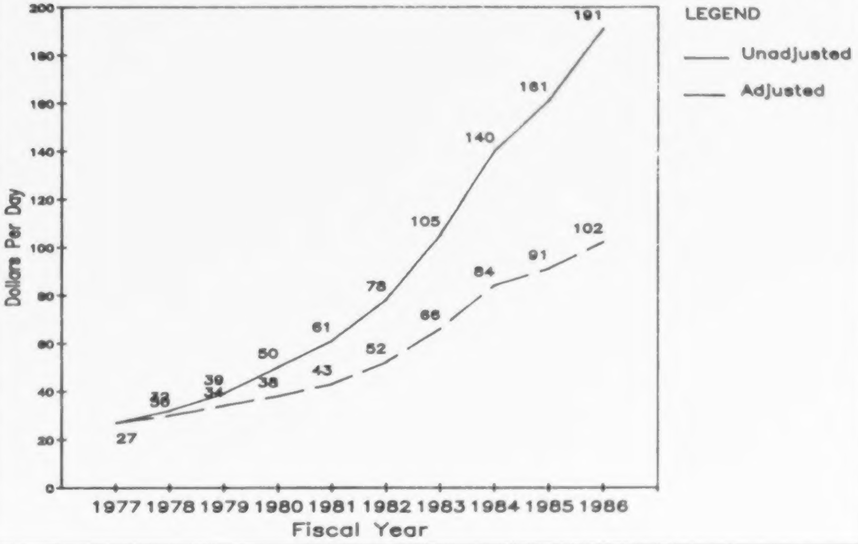
NEW HAMPSHIRE

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

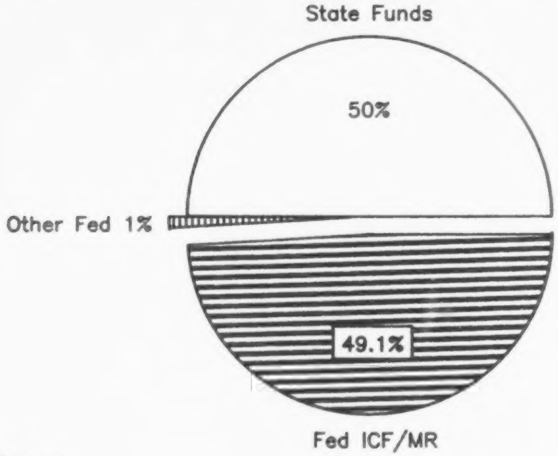


NEW HAMPSHIRE

Institutional Per Diem Costs: FY 1977–86



Institutional Revenue Detail: FY 1986 (Unadjusted)



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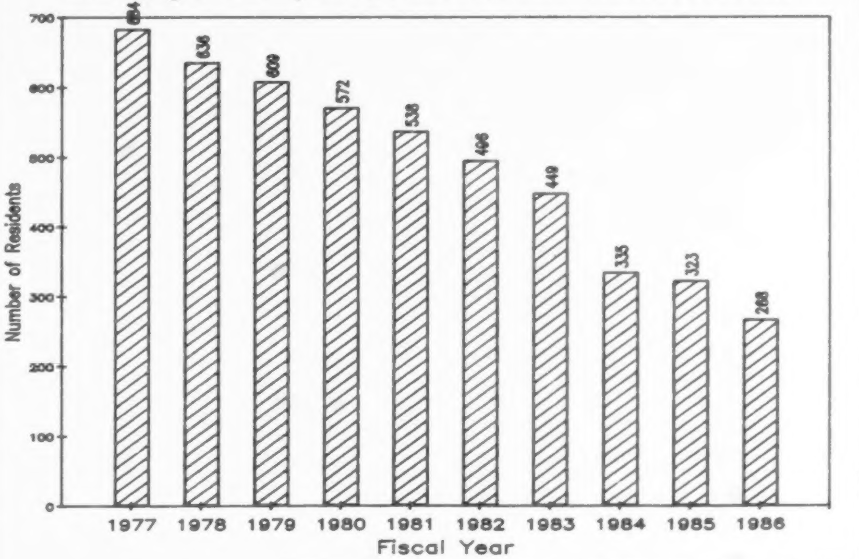
FY 1986 Total Funds: $18.7 Million

Average Daily Residents in Institutions



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

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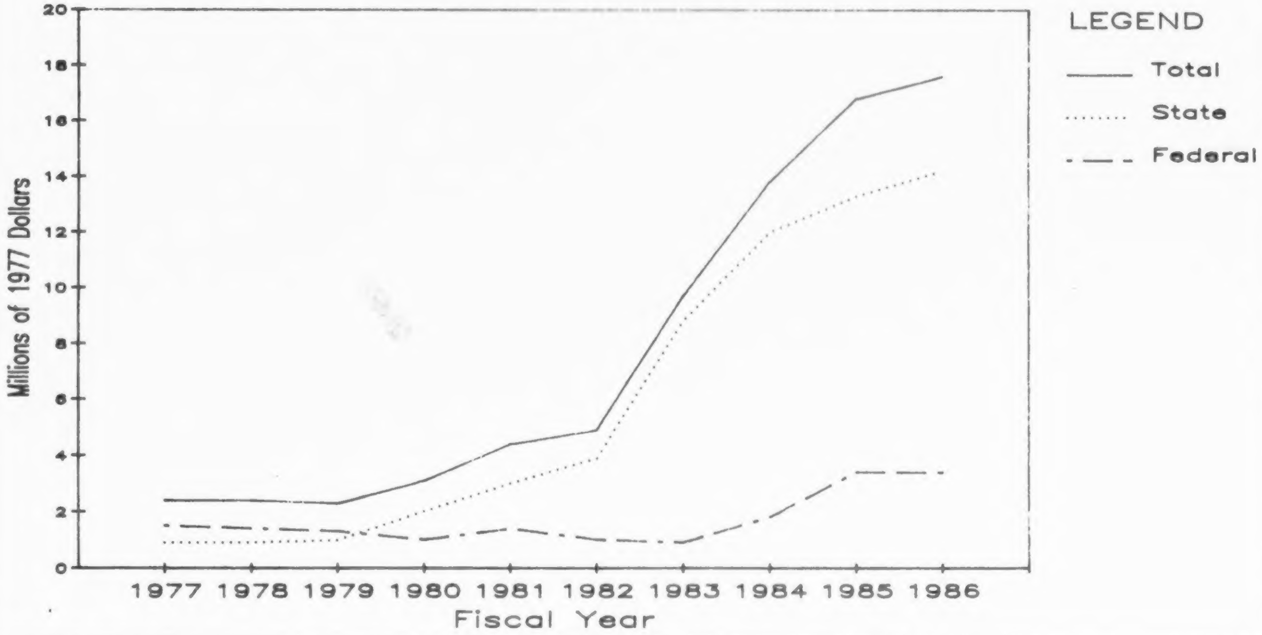
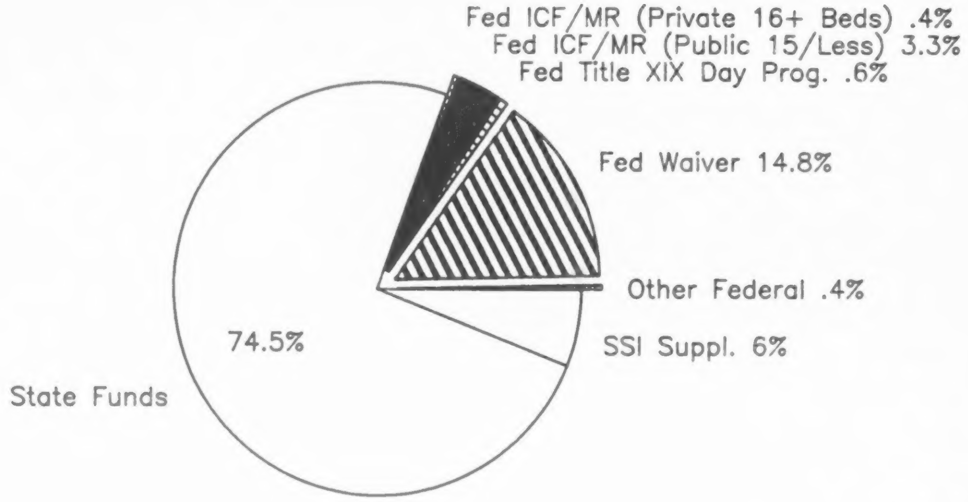
NEW HAMPSHIRE

Community Spending Adjusted for Inflation
By Level of Government: FY 1977—86



Community Revenue Detail: FY 1986 (Unadjusted)

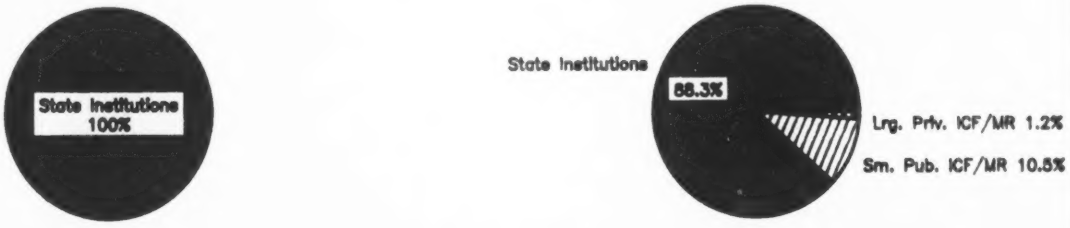


FY 1986 Total Funds: $33.0 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEW HAMPSHIRE

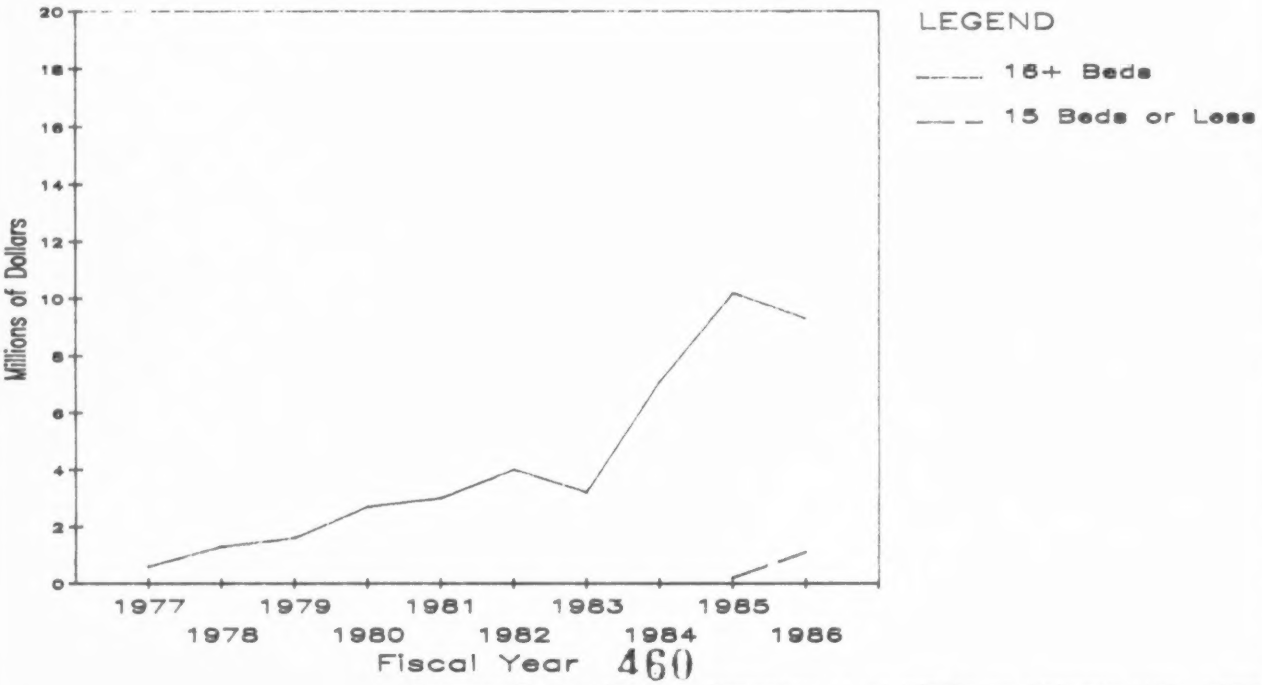
Federal ICF/MR Funding by Facility Setting:
FY 1977 and FY 1986



FY 1977 Total Federal Funds: $.567 Million

FY 1986 Total Federal Funds: $10.4 Million

By Facility Size, FY 1977–86



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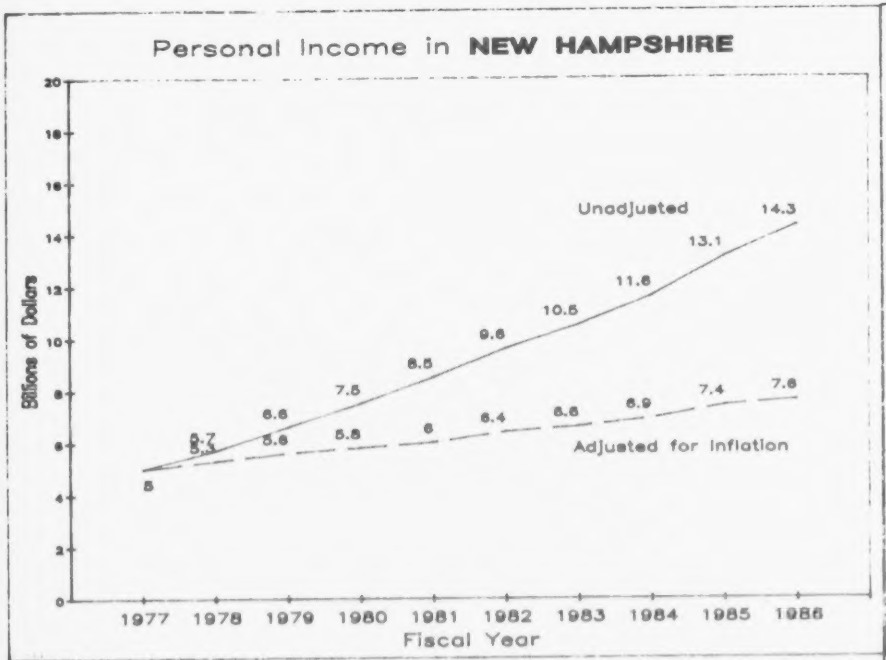
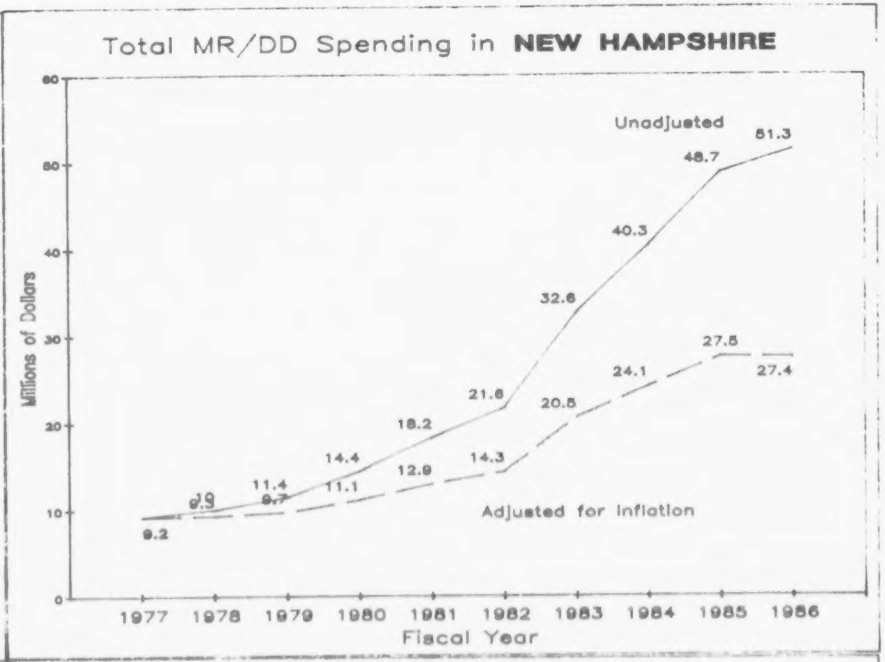
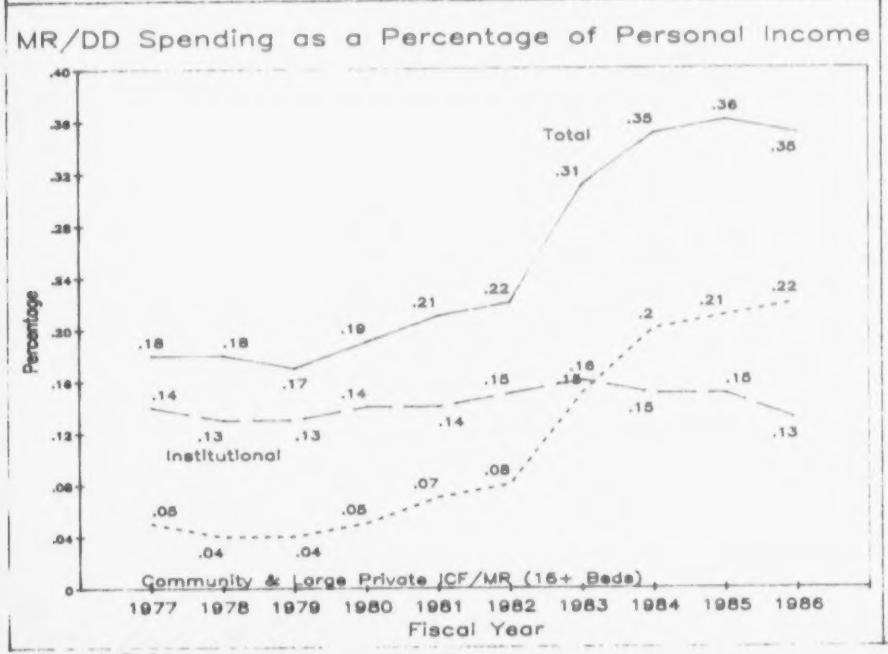
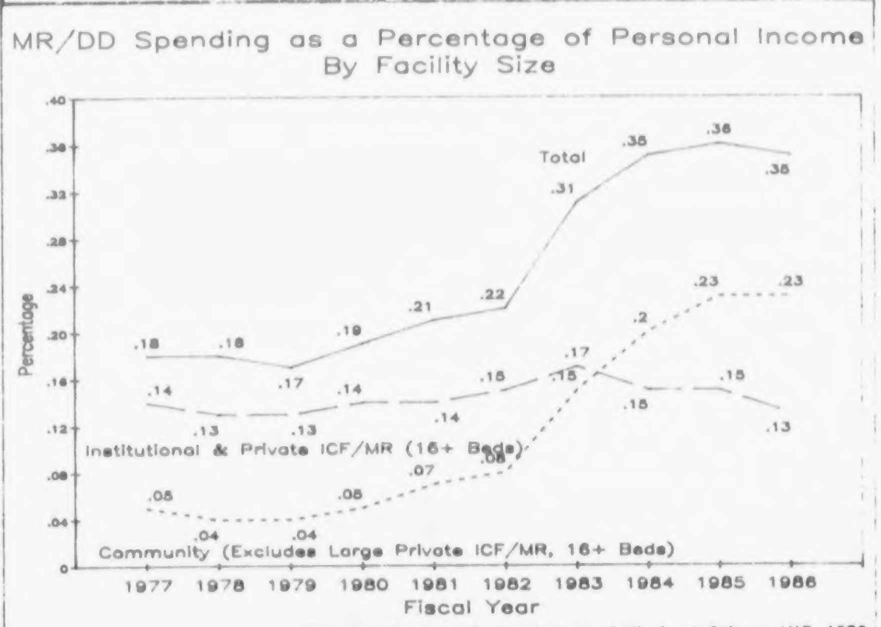
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986


Personal Income in **NEW HAMPSHIRE**


Total MR/DD Spending in **NEW HAMPSHIRE**


MR/DD Spending as a Percentage of Personal Income


MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

NEW HAMPSHIRE 3/31/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	10,746,000	11,863,000	13,404,000	16,737,000	21,138,804	24,909,784	36,217,753	44,507,000	54,248,000	56,131,414
TOTAL INSTITUTIONAL/COMMUNITY	9,223,000	10,045,000	11,393,000	14,424,000	18,205,804	21,581,784	32,609,753	40,300,000	48,700,000	51,314,414
STATE FUNDS	7,160,000	7,241,000	8,289,000	10,293,000	13,355,500	16,083,000	28,050,500	30,116,700	32,292,400	35,531,000
General Funds	5,975,000	5,987,000	6,922,000	8,714,000	11,395,500	13,873,000	25,625,500	26,415,700	27,945,400	31,721,000
SSI State Supplement	496,000	564,000	724,000	932,000	1,134,000	1,329,000	1,680,000	1,753,000	1,854,000	1,568,000
Other State Funds	689,000	690,000	643,000	647,000	826,000	881,000	745,000	1,948,000	2,493,000	2,242,000
FEDERAL FUNDS	2,063,000	2,804,000	3,104,000	4,131,000	4,850,304	5,498,784	4,559,253	10,183,300	16,407,600	15,783,414
Title XIX Funds	567,000	1,270,000	1,623,000	2,720,000	3,176,304	4,252,784	4,374,253	9,813,300	16,089,600	15,482,414
Title XX / SSBG Funds	1,296,000	1,408,000	1,331,000	1,171,000	1,474,000	1,053,000	0	0	0	0
Other Federal Funds	200,000	126,000	150,000	240,000	200,000	193,000	185,000	370,000	318,000	301,000
INSTITUTIONAL SERVICES FUNDS	6,832,000	7,515,000	8,752,000	10,441,000	12,024,000	14,186,000	17,205,000	17,158,000	19,031,000	18,693,000
STATE FUNDS	6,265,000	6,245,000	7,129,000	7,661,000	9,094,000	10,251,000	14,069,000	9,969,000	8,729,000	9,340,000
General Funds	5,576,000	5,555,000	6,486,000	7,014,000	8,268,000	9,370,000	13,324,000	9,044,000	7,583,000	8,700,000
Other State Funds	689,000	690,000	643,000	647,000	826,000	881,000	745,000	925,000	1,146,000	640,000
FEDERAL FUNDS	567,000	1,270,000	1,623,000	2,780,000	2,930,000	3,935,000	3,136,000	7,189,000	10,302,000	9,353,000
Federal ICF/MR	567,000	1,270,000	1,623,000	2,720,000	2,890,000	3,902,000	3,111,000	6,963,000	10,091,000	9,168,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	60,000	40,000	33,000	25,000	226,000	211,000	185,000
COMMUNITY WITH FEDERAL INCOME MAINT	3,914,000	4,348,000	4,652,000	6,296,000	9,114,804	10,723,784	19,012,753	27,349,000	35,217,000	37,438,414
COMMUNITY SERVICES FUNDS	2,391,000	2,530,000	2,641,000	3,983,000	6,181,804	7,395,784	15,404,753	23,142,000	29,669,000	32,621,414
STATE FUNDS	895,000	996,000	1,160,000	2,632,000	4,261,500	5,832,000	13,981,500	20,147,700	23,563,400	26,191,000
General Funds	399,000	432,000	436,000	1,700,000	3,127,500	4,503,000	12,301,500	17,371,700	20,362,400	23,021,000
SSI State Supplement	496,000	564,000	724,000	932,000	1,134,000	1,329,000	1,680,000	1,753,000	1,854,000	1,568,000
Other State Funds	0	0	0	0	0	0	0	1,023,000	1,347,000	1,602,000
FEDERAL FUNDS	1,496,000	1,534,000	1,481,000	1,351,000	1,920,304	1,563,784	1,423,253	2,994,300	6,105,600	6,430,414
ICF/MR Funds	0	0	0	0	77,304	80,784	85,253	90,300	296,800	1,217,314
Small Public	0	0	0	0	0	0	0	0	192,200	1,089,900
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	0	0	0	0	77,304	80,784	85,253	90,300	104,600	127,414
Other Title XIX Funds	0	0	0	0	209,000	270,000	1,178,000	2,760,000	5,701,800	5,097,100
Title XIX Day Programs	0	0	0	0	209,000	270,000	1,178,000	1,304,000	167,100	211,600
Waiver	0	0	0	0	0	0	0	1,456,000	5,534,700	4,885,500
Title XX / SSBG Funds	1,296,000	1,408,000	1,331,000	1,171,000	1,474,000	1,053,000	0	0	0	0
Other Federal Funds	200,000	126,000	150,000	180,000	160,000	160,000	160,000	144,000	107,000	116,000
FEDERAL INCOME MAINTENANCE	1,523,000	1,818,000	2,011,000	2,313,000	2,933,000	3,328,000	3,608,000	4,207,000	5,548,000	4,817,000
Suppl. Security Income (SSI)	996,000	1,233,000	1,328,000	1,502,000	1,915,000	2,195,000	2,385,000	2,943,000	3,264,000	3,340,000
Childhood Disability (SSDI)	527,000	585,000	683,000	811,000	1,018,000	1,133,000	1,223,000	1,264,000	2,284,000	1,477,000
F.F.P. Rate	60.28%	62.21%	62.85%	61.55%	61.11%	59.84%	59.41%	59.44%	59.45%	54.92%
Daily Institutional Population	684	636	609	572	538	496	449	335	323	268
Institutional Per Diem	27.37	32.37	39.37	49.87	61.23	78.36	104.98	139.94	161.42	191.10

NEW JERSEY

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. DD services are located in the Department of Human Services, Division of Developmental Disabilities.

Budget Format. Revenue and organizational categories presented in the State of New Jersey Budget had the following classification format:

- Department of Human Services
  - Division of Developmental Disabilities (in the FYs 1977-86 budgets, the division was called "Mental Retardation")
    - Vineland State School (and eight other institutions, each listed separately)
      - Operating Data (average daily population, etc.)
      - Position Data (staff positions by program)
      - Program Classifications
        - Resident Care and Habilitation
        - Health Services
        - Education and Training
        - Physical Plant & Support Services
        - Management & Administrative Services
        - Total Appropriation (General State Fund Sources)
      - Other Related Appropriations
        - Capital Construction
        - Federal Funds (Title XIX, Title XX, etc.)
        - All Other Funds
      - Grand Total
    - Other Agency Services
      - Division of DD
        - Evaluation Data
        - Position Data
        - Program Classifications
          - Purchased Residential Care
          - Social Supervision and Consultation
          - Adult Activities
          - Education and Day Training
          - Management and General Support
            - Total Appropriation
        - Other Related Appropriations
          - Capital Construction
          - Federal Funds (Title XIX, Title XX, etc.)
          - All Other Funds
          - Grand Total

In the FY 1987 Budget, the budget format for community services no longer itemized the individual federal revenue sources (e.g., Title XIX ICF/MR, Title XX/SSBG); all revenues were combined into a "Special Purpose" and "Grants" section.

Note on Data Sources. Figures were actual expenditures from the annual State Budget documents for Fiscal Years 1979, 1981, 1982, 1983, 1984, and 1985. Fiscal Year 1986 figures were appropriations. Average daily census data for the state developmental centers were obtained from the budget documents.

In New Jersey, employee fringe benefits for all state employees were carried in one central budgetary account rather than being distributed to the various program budgets. To facilitate comparability with other states, an amount for fringe benefits was estimated and added to the budget document figures. Jack Gelczis, Fiscal Services Administrator, Division of MR (p.c., correspondence, 10/18/83) provided the salary portions of expenditures for FYs 1977-84 and the percentage of salaries which represented fringe benefits. Fringe benefits ranged from $12.3 million in FY 1977 to $37.9 million in FY 1984. FYs 1985-86 fringe benefits were extrapolated from the the FY 1984 figures.

Expenditures for major capital construction projects have been analytically removed from the State General Fund lines in our analysis. However, "Maintenance, Supplies and Fixed Charges" as well as "Additions and Improvements" which were for routine maintenance were included.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included expenditures at the eight state developmental centers, and since May of 1981, the Green Brook Regional Center which was being used temporarily to house 118 Geriatric MR clients to allow the other centers to comply with ICF/MR standards. The eight centers were: Vineland, North Jersey Training School at Totowa, Woodbine, New Lisbon, Woodbridge, Hunterdon, Edward R. Johnstone Training and Research Center and North Princeton (formerlly, the New Jersey Neuropsychiatric Institute).

State General Funds were taken from the "Total Appropriations" line within the budget detail of each of the developmental centers. Added to this amount were the estimates of fringe benefits (see note above).

The Division planned to renovate a number of institutional beds, but reached an agreement with HCFA to reduce the number of beds as residents were moved out of the institutions into community placements. According to William Oudenne (p.c., letter, 2/6/84), this resulted in the Division funding community placements from Title XIX funds earned for institutional placements. All Title XIX state matching funds remained in the Institutional Services General Fund category for the purposes of our analysis. Federal share ICF/MR reimbursements for community services under this Phase-out Waiver, however, were considered Community Services expenditures in our analysis.

Other State Funds were state funds from the State Department of Education to further supplement educational programs for developmentally disabled students.

Federal ICF/MR figures for FYs 1977-83 were provided by Jack Gelczis, Fiscal Services Administrator (p.c., letter, 10/18/83). Fiscal Years 1984-86 data were obtained from the Title XIX lines under the "Federal Funds" section of the FY 1986 and 1987 budgets. There were no Title XIX figures reported in the Budget for FY 1977 or FY 1978. William Oudenne, Division of MR (p.c., telephone, 9/1/83), said Hunterdon State School was the only institution certified in FY 1977 and it collected $431 thousand though the money was not actually expended until FY 1978.

Other Federal Funds were primarily for education (ESEA, Title I/Chapter I) and health services.

III. COMMUNITY SERVICES FUNDS

Community services included a small amount of expenditures for central state administration. Changes in accounting procedures as to which items were included in the administrative code over the ten-year period of this study made it impractical to attempt to exclude administration as we have done in the analysis of other states' budgets. These administration amounts varied from $3.4 million in FY 1978 to $11.6 million in FY 1981, representing 5% of each year's total community-institutional MR budget.

State General Funds included the state matching share of Title XX/SSBG funds. It did not include the state share of Title XIX ICF/MR funds earned under the Phase-out Waiver--see note in the "State general funds" section under Institutional Services.

Other State Funds included education and day training funds and the state share of Title XIX ICF/MR funding carried in the Division of Medical Assistance budget. The large increase in FY 1981 was due to an influx of State Department of Education dollars for "day training education" to supplement the education programs for DD clients. Education and day training amounts were obtained from the annual state budgets.

Small Public ICF/MR. There were no public-operated ICF/MRs in New Jersey.

Private ICF/MR. There were two large privately-operated ICFs/MR in New Jersey, the first opened in FY 1983, and the second in FY 1984. Funds were accounted for in the Division of Medical Assistance. The state share of this ICF/MR funding was classified under "Other State Funds" in this analysis. FYs 1983-84 figures were provided by Ann Kohler, Division of Medical Assistance (p.c., telephone, 8/26/83); FYs 1984-86 data was obtained from Ernie Rogers, Division of Medical Assistance (p.c., telephone, 4/30/86).

Title XIX Day Program Funds in this analysis included funding of day services and purchased residential care. The Division of DD contracted for these services with private providers. In turn, the Division was reimbursed via Title XIX funds. The residential services were not certified as ICF/MR facilities, therefore, the Title XIX funding was classified under this category. Funding for residential services appeared under "Purchased Residential Care" in the budget.

The Title XIX funds expended on day program services appeared in the budget lines, "Social Supervision and Consultation," and "Adult Activities." Additional funding for day services was provided via Community Care Waiver and Title XX/SSBG revenues and these funds were so classified in this analysis.

The following Federal share amounts were expended on residential and day services ($ amount in thousands):

Fiscal Year	Purchased Residential Care	Day Services
1978	$ 74	$ 0
1979	1,688	1,552
1980	6,711	4,431
1981	16,517	6,967
1982	11,351	6,631
1983	17,123	8,550
1984	23,942	7,718
1985	17,275	6,651
1986	11,881	13,803

The recent decline in purchased residential care funding represented the increased use of Community Care Waiver funds to support community-based residential services. Fiscal Years 1978-83 day service figures were available from the budget documents; purchased residential care estimates for this period were obtained from Jack Gelczis (p.c., correspondence, 10/18/83). Fiscal Years 1984-86 figures were provided by Carol Feeney (p.c., telephone, 4/22/86).

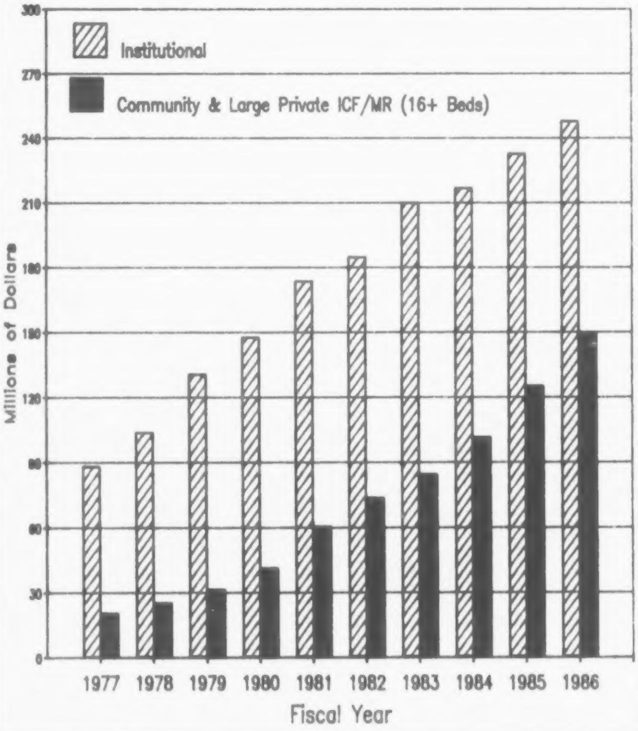
Title XIX Waiver. A Community Care Waiver was approved in FY 1983. Revenues under the Waiver first appeared in the Division budget in FY 1984. However, the budget provided insufficient detail to extract exact amounts of Waiver revenues; therefore, FYs 1984-86 data were obtained from Carol Feeney (p.c., telephone, 4/22/86).

Federal Title XX/SSBG funds were obtained from the budget (for FYs 1977-83); Carol Feeney (p.c., telephone, 4/22/86) provided the FYs 1984-86 figures.

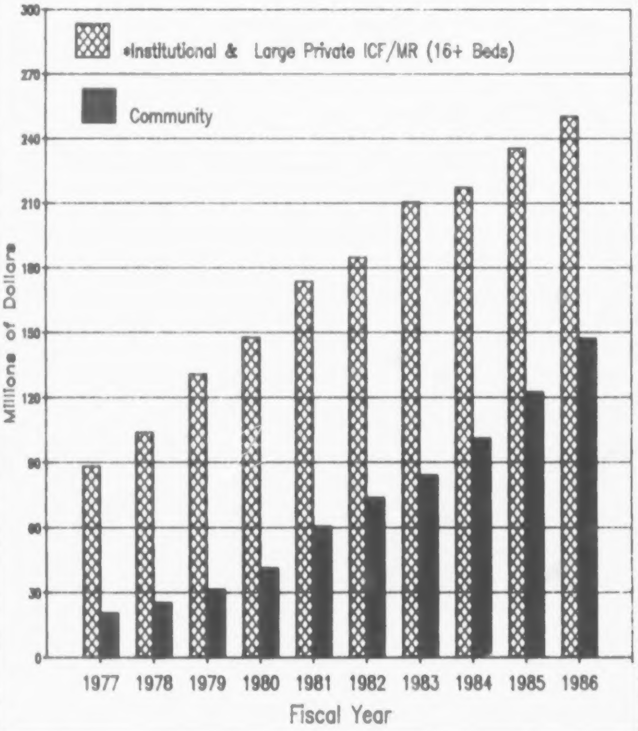
Other Federal Funds included ESEA, Title I/Chapter I for education and day training, Developmental Disabilities Services Act, and other small federal grants.

NEW JERSEY

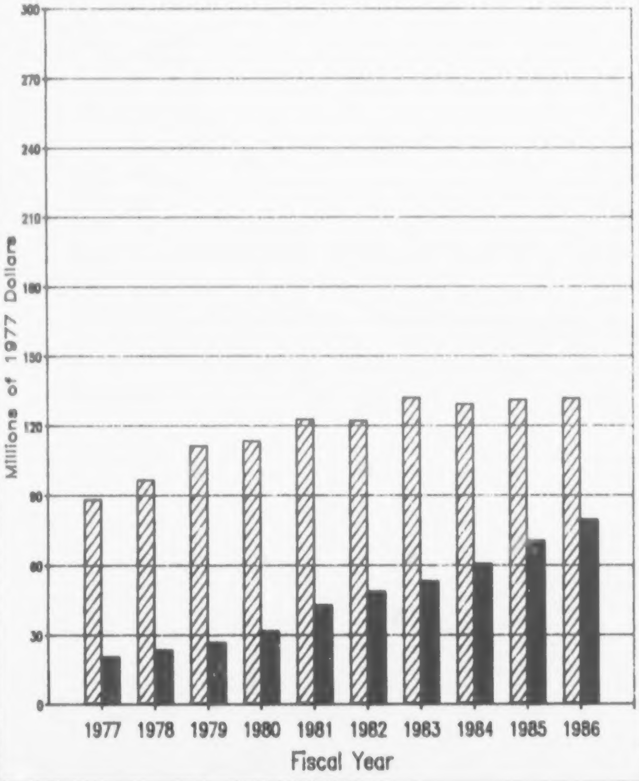
MR/DD Expenditures for *Institutional* & *Community* Services



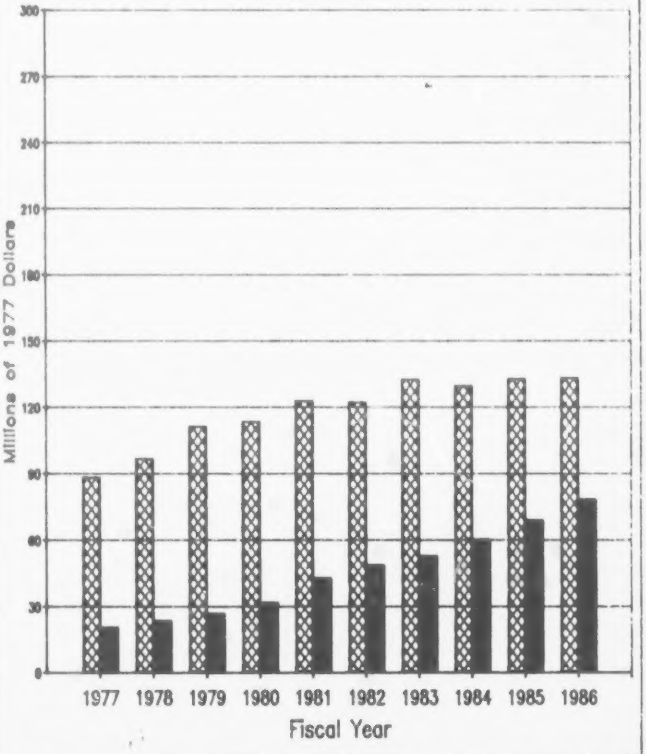
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



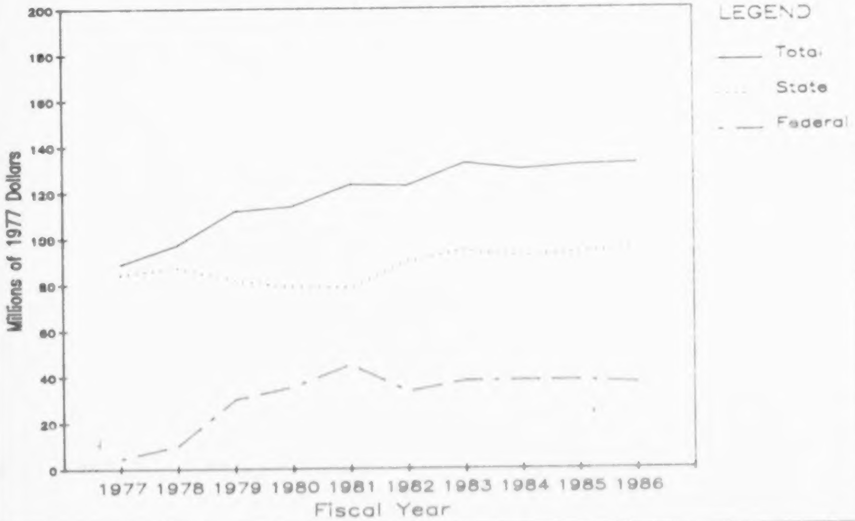
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

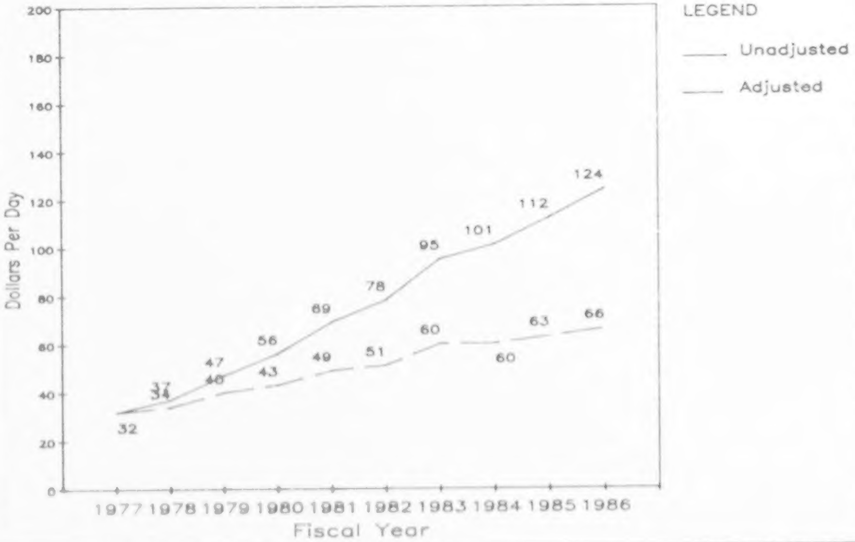
NEW JERSEY

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

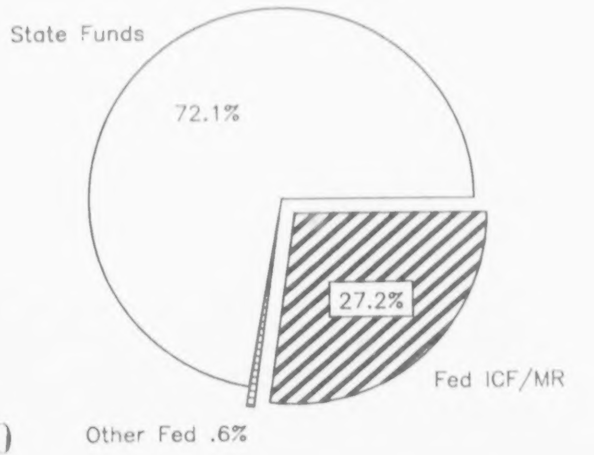


NEW JERSEY

Institutional Per Diem Costs: FY 1977–86

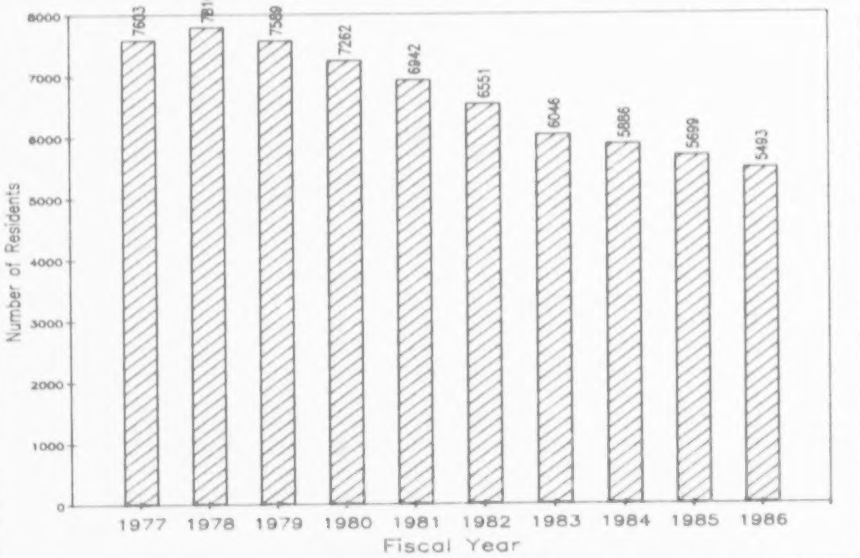


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $248.4 Million

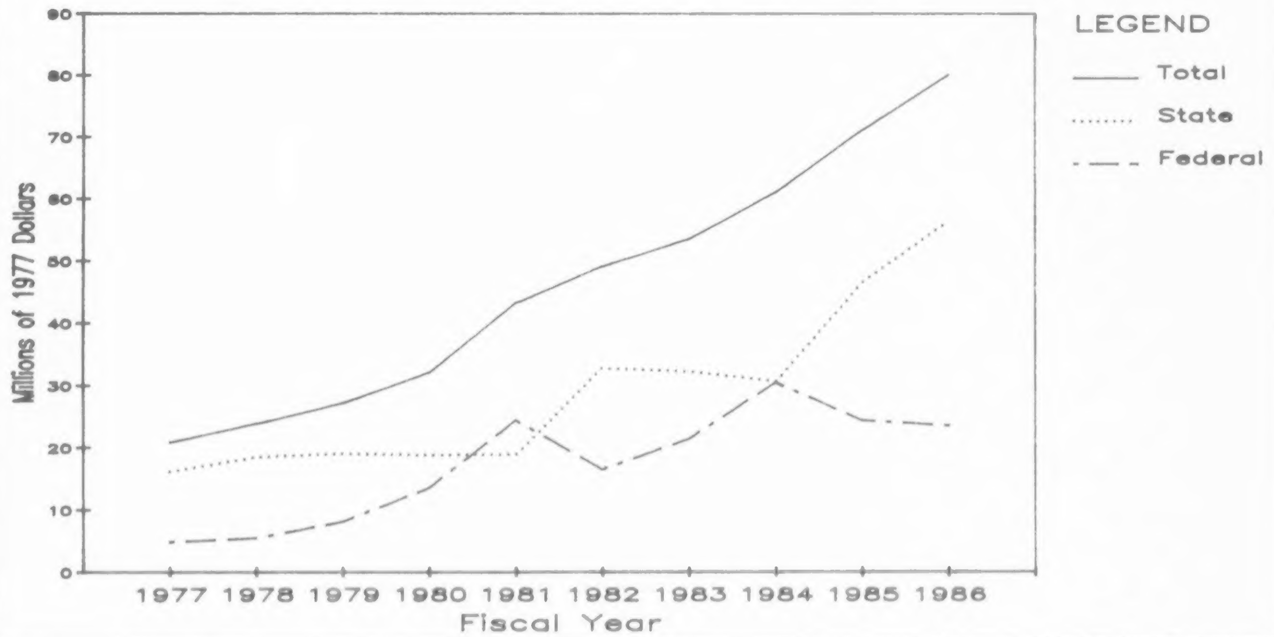
Average Daily Residents in Institutions



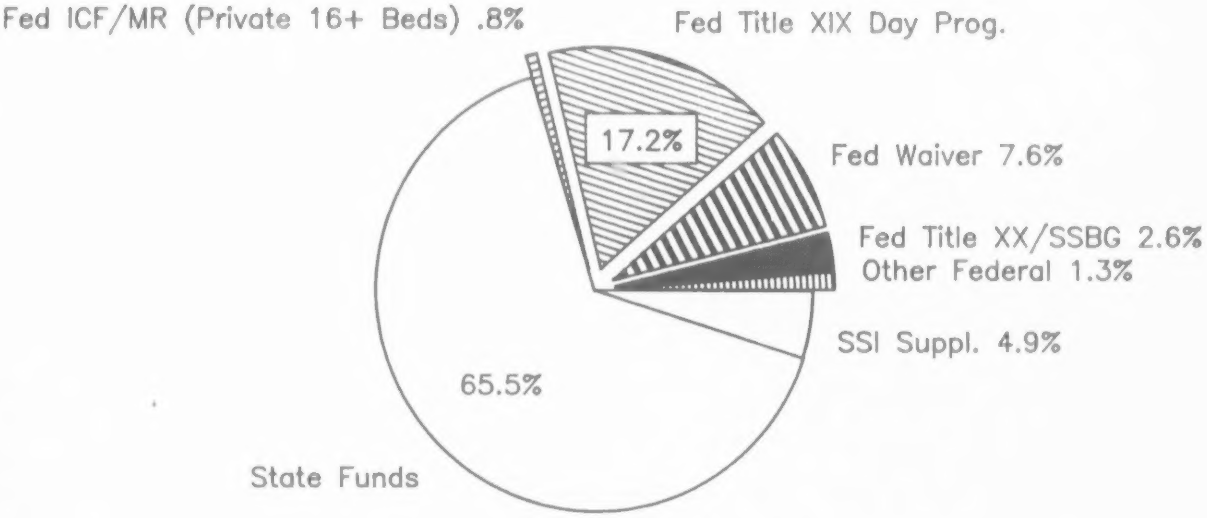
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEW JERSEY

Community Spending Adjusted for Inflation
By Level of Government: FY 1977—86



Community Revenue Detail: FY 1986 (Unadjusted)

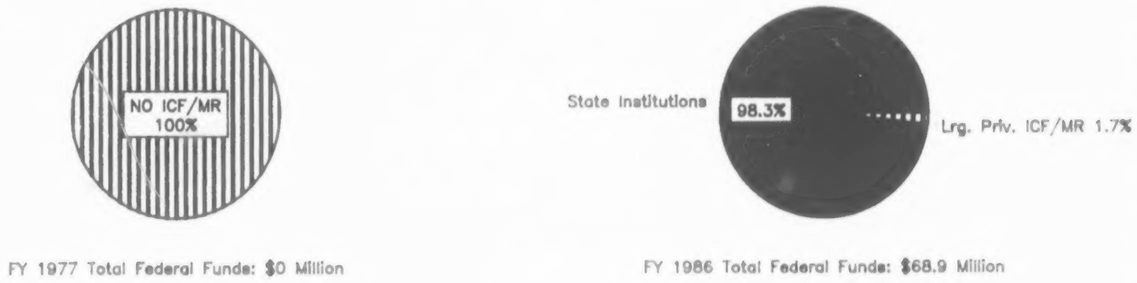


FY 1986 Total Funds: $149.1 Million

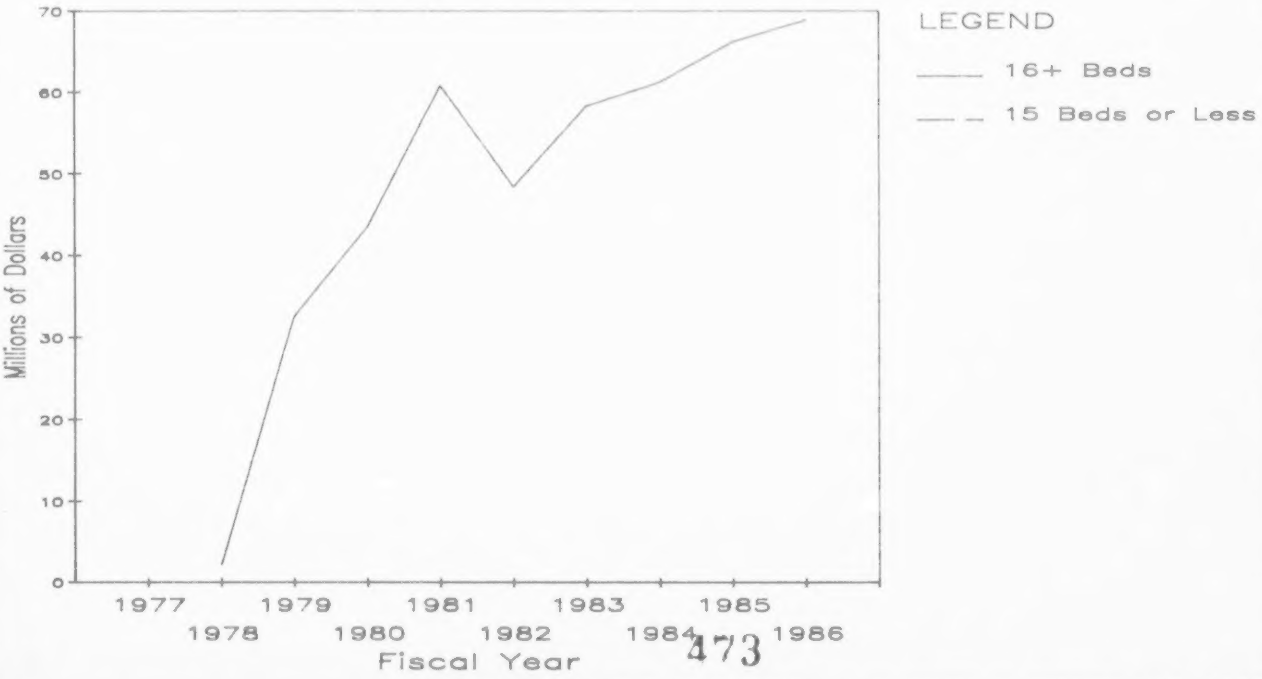
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEW JERSEY

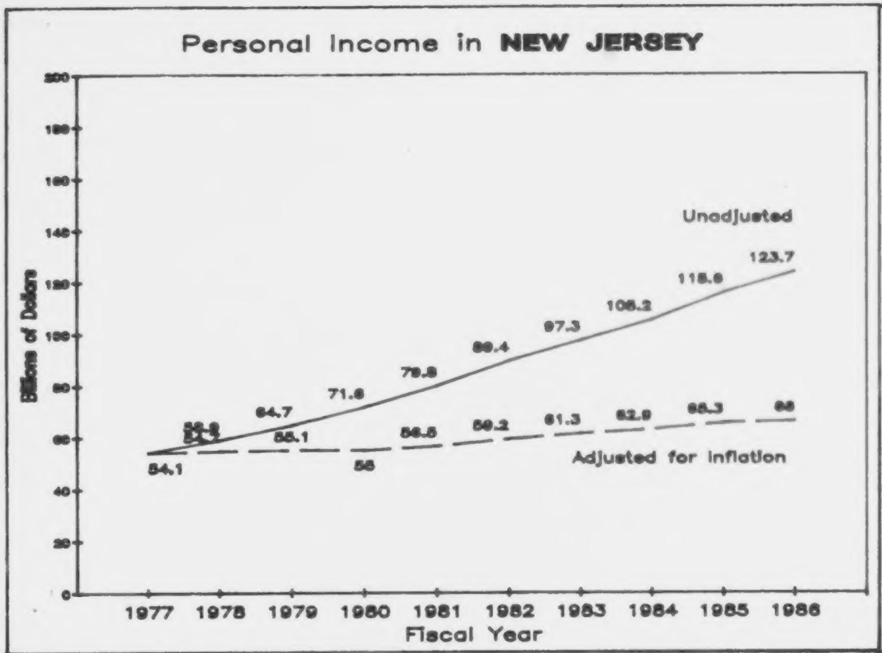
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

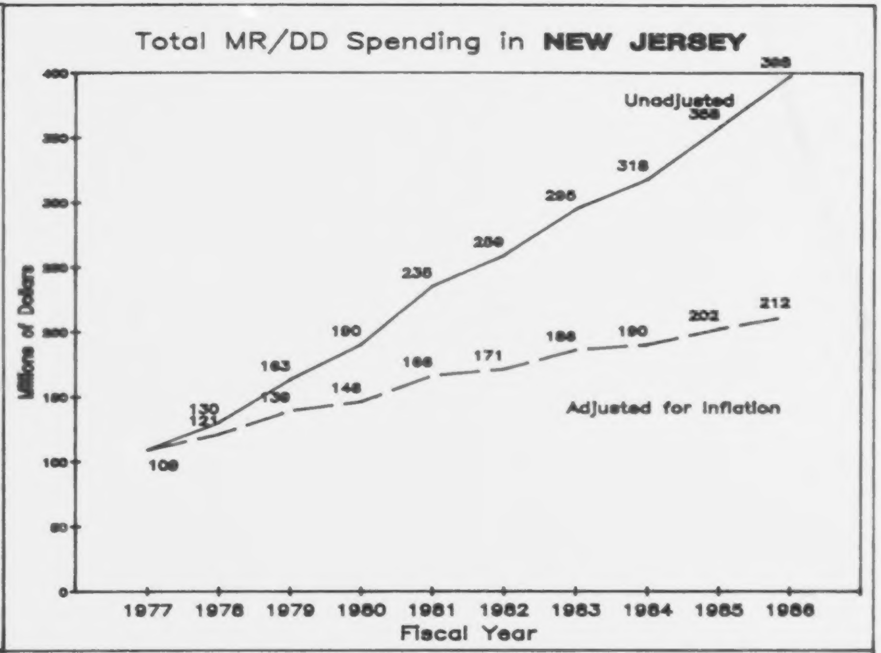


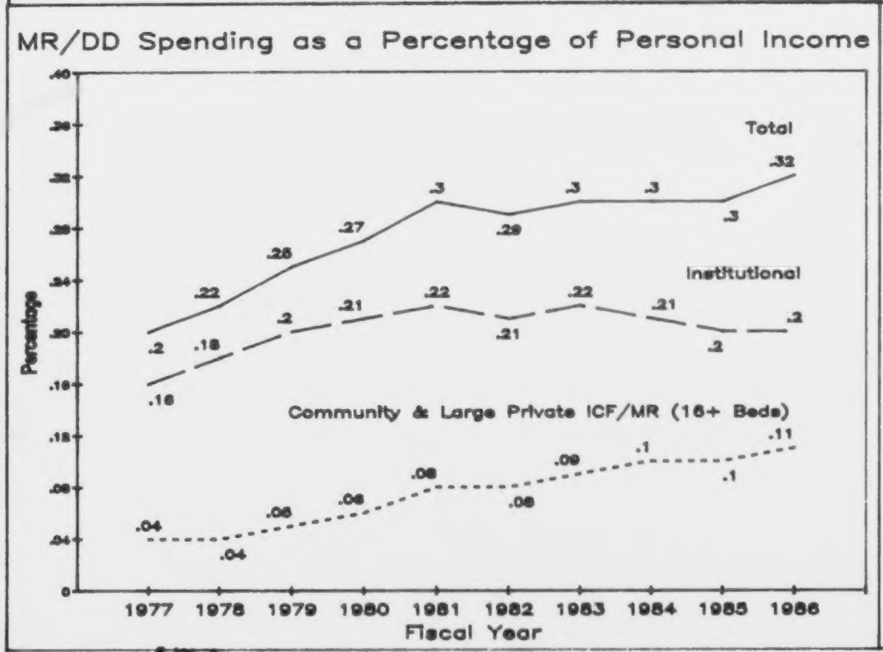
By Facility Size, FY 1977–86

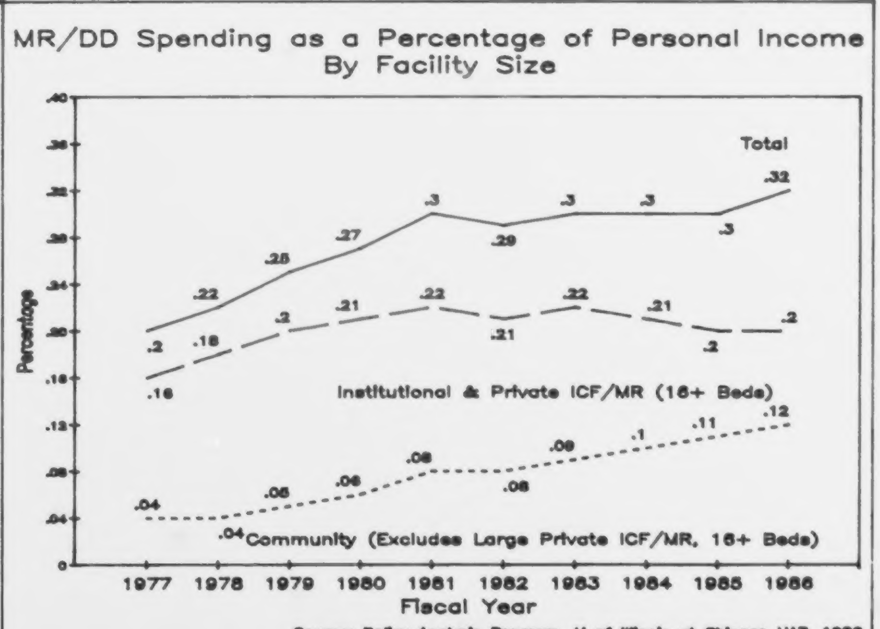


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986


Personal Income in **NEW JERSEY**


Total MR/DD Spending in **NEW JERSEY**


MR/DD Spending as a Percentage of Personal Income


MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEW JERSEY 8/29/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	133,842,000	156,871,000	193,165,000	224,165,000	277,043,000	306,779,000	347,174,000	375,905,600	423,637,000	466,866,300
TOTAL INSTITUTIONAL/COMMUNITY	109,179,000	129,762,000	162,721,000	189,530,000	234,512,000	258,944,000	294,649,000	318,344,600	357,860,000	397,565,300
STATE FUNDS	99,916,000	113,163,000	117,816,000	125,918,000	136,895,000	183,819,000	200,383,000	203,601,700	247,168,600	284,201,400
General Funds	97,290,000	109,710,000	114,419,000	121,728,000	123,116,000	166,467,000	182,189,000	181,781,700	222,151,100	256,881,800
SSI State Supplement	2,590,000	2,805,000	3,131,000	3,697,000	4,581,000	5,112,000	5,987,000	6,424,000	6,796,000	7,365,000
Other State Funds	36,000	648,000	266,000	493,000	9,198,000	12,240,000	12,207,000	15,396,000	18,221,500	19,954,600
FEDERAL FUNDS	9,263,000	16,599,000	44,905,000	63,612,000	97,617,000	75,125,000	94,266,000	114,742,900	110,691,400	113,363,900
Title XIX Funds	0	2,300,000	35,791,000	54,688,000	84,235,000	66,400,000	84,013,000	104,026,100	101,219,000	105,874,400
Title XX / SSBG Funds	2,992,000	3,662,000	4,170,000	4,203,000	4,165,000	3,681,000	3,710,000	4,172,000	3,815,000	3,907,000
Other Federal Funds	6,271,000	10,637,000	4,944,000	4,721,000	9,217,000	5,044,000	6,543,000	6,544,800	5,657,400	3,582,500
INSTITUTIONAL SERVICES FUNDS	88,769,000	104,543,000	131,364,000	148,384,000	174,274,000	185,534,000	210,608,000	217,359,800	233,277,900	248,431,900
STATE FUNDS	84,287,000	93,833,000	96,024,000	102,301,000	111,064,000	135,285,000	150,391,000	153,640,000	165,825,000	179,182,000
General Funds	84,253,000	93,400,000	95,996,000	102,238,000	106,840,000	130,653,000	145,087,000	148,612,000	160,273,000	174,201,000
Other State Funds	34,000	433,000	28,000	63,000	4,224,000	4,632,000	5,304,000	5,028,000	5,552,000	4,981,000
FEDERAL FUNDS	4,482,000	10,710,000	35,340,000	46,083,000	63,210,000	50,249,000	60,217,000	63,719,800	67,452,900	69,249,900
Federal ICF/MR	0	2,226,000	32,550,000	43,545,000	60,750,000	48,417,000	58,089,000	60,953,000	64,807,500	67,618,400
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	4,482,000	8,484,000	2,790,000	2,538,000	2,460,000	1,832,000	2,128,000	2,766,800	2,645,400	1,631,500
COMMUNITY WITH FEDERAL INCOME MAINT	45,073,000	52,328,000	61,801,000	75,781,000	102,769,000	121,245,000	136,566,000	158,545,800	190,359,100	218,434,400
COMMUNITY SERVICES FUNDS	20,410,000	25,219,000	31,357,000	41,146,000	60,238,000	73,410,000	84,041,000	100,984,800	124,582,100	149,133,400
STATE FUNDS	15,629,000	19,330,000	21,792,000	23,617,000	25,831,000	48,534,000	49,992,000	49,961,700	81,343,600	105,019,400
General Funds	13,037,000	16,310,000	18,423,000	19,490,000	16,276,000	35,814,000	37,102,000	33,169,700	61,878,100	82,680,800
SSI State Supplement	2,590,000	2,805,000	3,131,000	3,697,000	4,581,000	5,112,000	5,987,000	6,424,000	6,796,000	7,365,000
Other State Funds	2,000	215,000	238,000	430,000	4,974,000	7,608,000	6,903,000	10,368,000	12,669,500	14,973,600
FEDERAL FUNDS	4,781,000	5,889,000	9,565,000	17,529,000	34,407,000	24,876,000	34,049,000	51,023,100	43,238,500	44,114,000
ICF/MR Funds	0	0	0	0	0	0	250,000	250,000	1,375,500	1,248,600
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	0	0	0	0	0	0	250,000	250,000	1,375,500	1,248,600
Other Title XIX Funds	0	74,000	3,241,000	11,143,000	23,485,000	17,983,000	25,674,000	42,823,100	35,036,000	37,007,400
Title XIX Day Programs	0	74,000	3,241,000	11,143,000	23,485,000	17,983,000	25,674,000	31,661,500	23,926,900	25,685,000
Waiver	0	0	0	0	0	0	0	11,161,600	11,109,100	11,322,400
Title XX / SSBG Funds	2,992,000	3,662,000	4,170,000	4,203,000	4,165,000	3,681,000	3,710,000	4,172,000	3,815,000	3,907,000
Other Federal Funds	1,789,000	2,153,000	2,154,000	2,183,000	6,757,000	3,212,000	4,415,000	3,778,000	3,012,000	1,951,000
FEDERAL INCOME MAINTENANCE	24,663,000	27,109,000	30,444,000	34,635,000	42,531,000	47,835,000	52,525,000	57,561,000	65,777,000	69,301,000
Suppl. Security Income (SSI)	15,732,000	17,184,000	18,871,000	20,892,000	25,272,000	28,628,000	31,786,000	36,126,000	41,941,000	44,267,000
Childhood Disability (SSDI)	8,931,000	9,925,000	11,573,000	13,743,000	17,259,000	19,207,000	20,739,000	21,435,000	23,836,000	25,034,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%	50.00%
Daily Institutional Population	7,603	7,810	7,589	7,262	6,942	6,551	6,046	5,886	5,699	5,493
Institutional Per Diem	31.99	36.67	47.42	55.83	68.78	77.59	95.44	100.90	112.15	123.91

NEW MEXICO

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The Developmental Disabilities Bureau in New Mexico state government is organizationally positioned within the Behavioral Health Services Division of the Department of Health and the Environment. The Bureau recently (1983) acquired responsibility for New Mexico's institutional programs as well as for community services management.

Budget Format. The state MR/DD agency budget was organized in the following manner:

DEPARTMENT OF HEALTH AND THE ENVIRONMENT

Behavioral Health Services Division (Central Office)

Revenues
 General Fund
 Other State Funds
 Federal Funds

Expenditures
 Personal Services
 Employee Benefits
 Travel
 Maint/Repairs
 Supplies/Materials
 Contractual Services
 Other Operating Costs
 Capital Outlay
 Out-State Travel

Community Programs

(Same classification as above)

Residential Institutions

State Hospitals and Training Centers (3 listed individually)

(Same classification as above)

Note on Data Sources. Expenditure data were obtained from the Executive Budgets for New Mexico's 66th through 75th fiscal years (which corresponds to FYs 1977-86) and in communications with personnel in the Bureau of DD and the Medical Assistance Program Office. The average daily institutional population census for FYs 1977-83 was obtained from Carolyn Klintworth, DD Bureau (p.c., telephone, 7/17/84); FYs 1984-86 data were provided by personnel in the medical records offices of the Los Lunas and Fort Stanton State Hospital and Training Centers (p.c., telephone, 4/10/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of operating funds for the state's institutions: Las Lunas and Fort Stanton; Villa Solano (80 beds), closed in July, 1981.

State General Funds were taken from the "General Fund" line in the Budget.

Other State Funds were composed primarily of the state match for ICF/MR revenues as well as miscellaneous revenue sources (e.g., private pay, cafeteria sales, grants, and land rental). In New Mexico Budget Documents, "Other Funds" included both state and federal portions of ICF/MR funding. The Federal share of ICF/MR monies in the Other State Funds category was extracted and classified below under "Federal ICF/MR."

Federal ICF/MR Funds were estimated from the "Other Funds" line in the Budget documents (see note above) by applying the HCFA FFP rates for FYs 1977-86 (p.c., telephone, 9/20/83, Sal Montono, Human Services Department, Medical Assistance Office; Phil Blackshear, DD Bureau, 4/11/86).

Other Federal Funds were composed of small federal programs (e.g., Foster Grandparent, Deaf/Blind, School Lunch, Library Grant, and Chapter I). Funds were encompassed in the "Federal Funds" line of the Budget.

III. COMMUNITY SERVICES FUNDS

Community services expenditures in the FYs 1977-83 period included two budget lines: "Title XX" and "Community Flow-Through Funds." Data for FYs 1984-86 were based on a special accounting analysis provided by Edward Quintana, Financial Specialist (p.c., telephone, 4/11/86); and Ernestine Garcia, Budget Analyst (p.c., correspondence, 4/10/86), both of the Administrative Services Division, Health and Environment Department.

State General Funds included the state "General Funds" for MR community services, "Residential Expansion Funds," and in FY 1986, the state match for Title XIX Waiver funds.

Other State Funds were composed of the state match for Title XIX ICF/MR funding budgeted in the Human Services Department, and in FYs 1984-86, funds for a foster care program jointly administered by the Behavioral Health Services and Human Services Departments. Figures for the foster care program were provided by Augnar Butis, Human Services Department (p.c., telephone, 4/11/86).

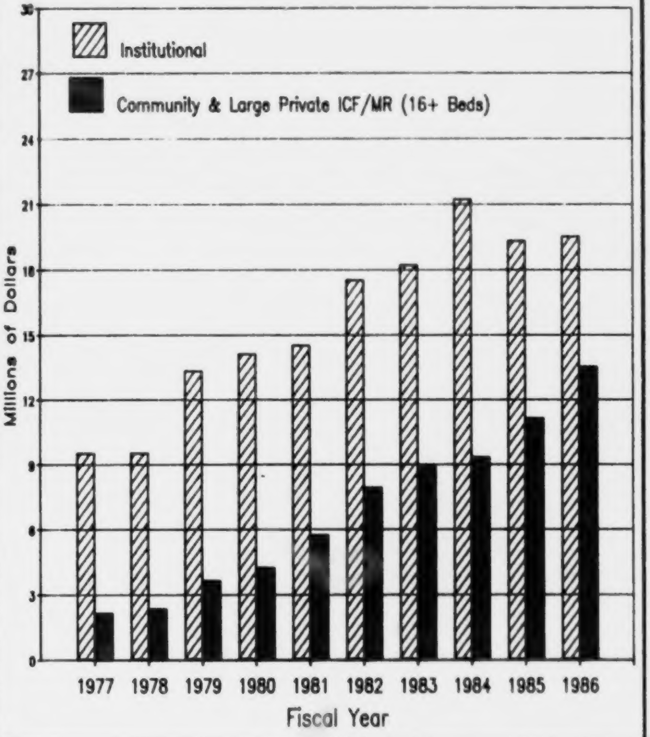
Private ICF/MR expenditure data were obtained from Sal Montono (p.c., telephone, 9/16/83 and 4/16/86) and from Carol Pancner (p.c., telephone, 8/28/86), both of the Medical Assistance Program Office, Department of Human Services. The first privately-operated ICF/MR, a 16-bed facility, began operations in FY 1980; in FY 1986 there were 13 privately-operated ICFs/MR. ICF/MR expansion since FY 1982 was exclusively in the "Small" facility category. Ten of the 13 facilities operating by FY 1986 were of the 15-bed or less category. The breakdown of expenditures across size classifications was estimated by taking a linear projection of total FY 1981 ICF/MR funding (prior to the introduction of any "small" facilities--the three "large" ICF/MRs accounted for all Title XIX funding) over the FYs 1982-86 period. This amount in turn, was deducted from total Federal ICF/MR reimbursements to impute funding of the "small" facilities.

Title XIX Waiver. According to Edward Quintana, Financial Specialist, Health and Environment Department (p.c., telephone, 4/11/86), a Waiver was due to go into effect in FY 1985 but actual implementation was delayed until FY 1986.

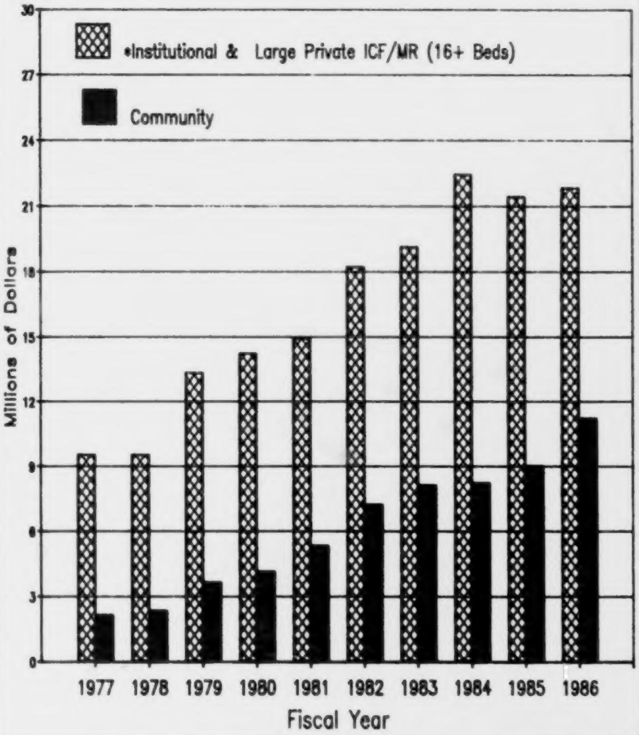
Federal Title XX/SSBG expenditures were obtained from the following sources: FYs 1977- 80 (p.c., telephone, M. Varela, New Mexico Department of Human Services, Title XX Program Office, 9/19/83); FYs 1981-82 (Executive Budget for FY 1984); FY 1983 (S. Dossey, Budget Analyst, Health and Environment Department, 9/11/83); FY 1984 (p.c., telephone, Edward Quintana, Financial Specialist, 4/11/86); FY 1985 (p.c., correspondence, Ernestine Garcia, Budget Analyst, 4/10/86). According to M. Varela, Title XX funds have supported MR community services in New Mexico since 1975.

NEW MEXICO

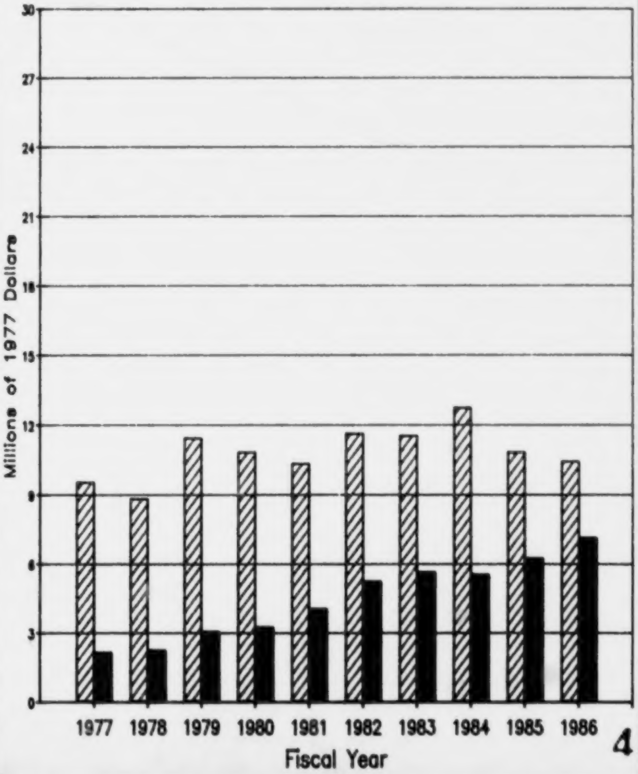
MR/DD Expenditures
for *Institutional* & *Community* Services



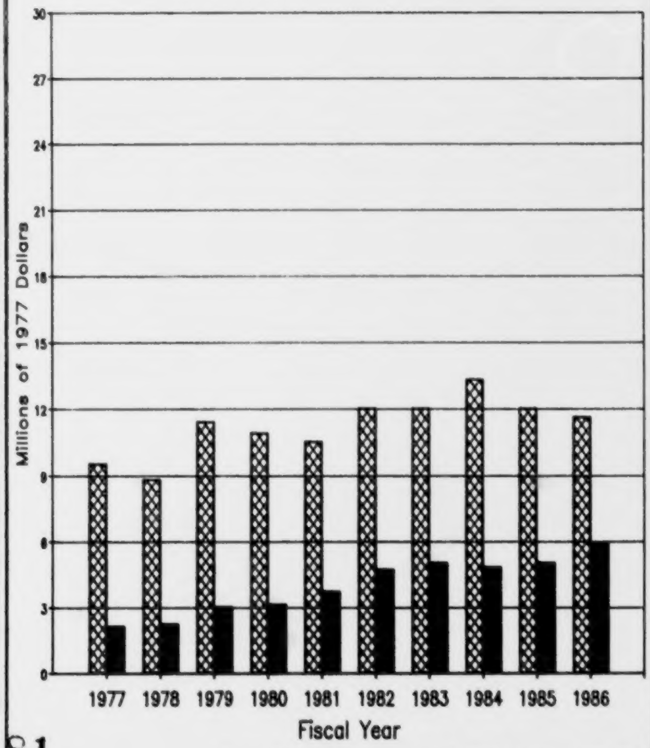
MR/DD Expenditures for Large Congregate*
& Community Services



Adjusted for Inflation



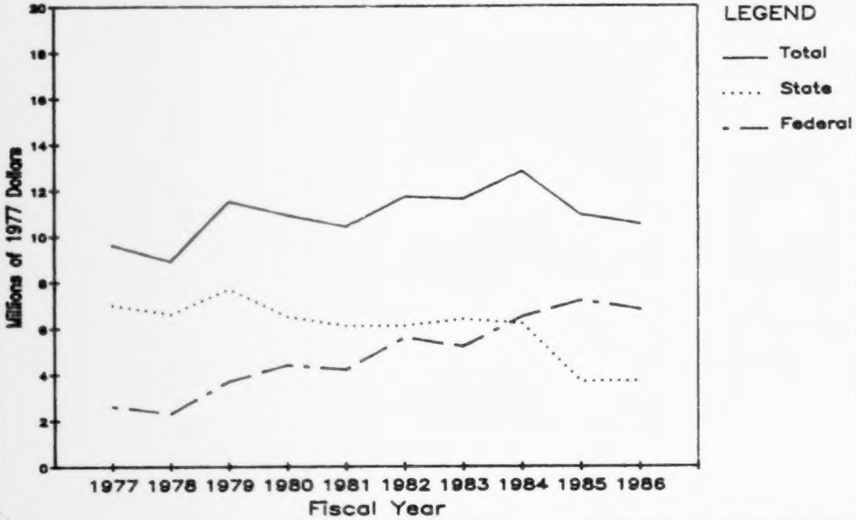
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

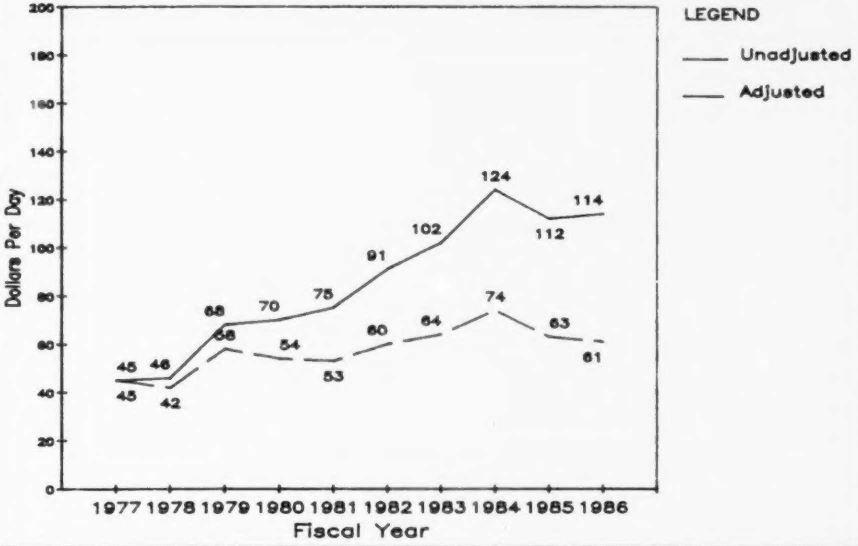
NEW MEXICO

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

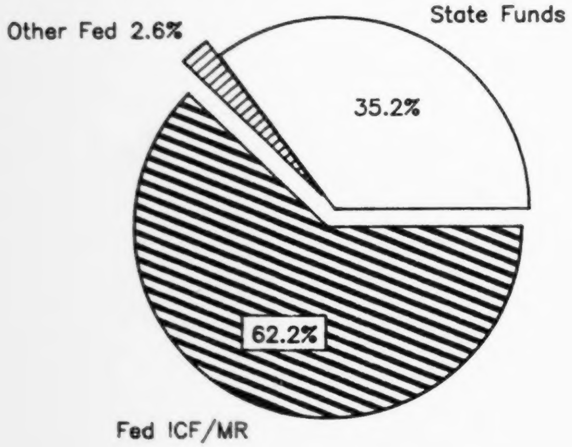


NEW MEXICO

Institutional Per Diem Costs: FY 1977–86

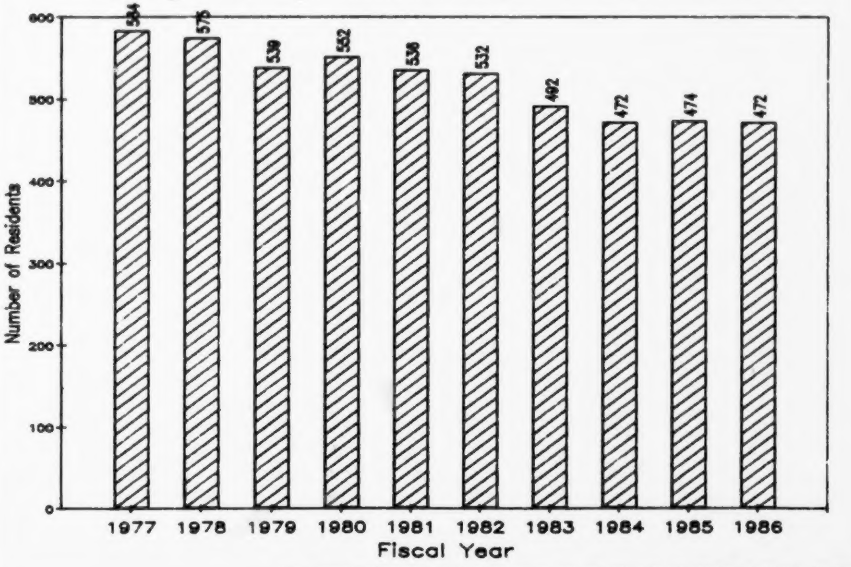


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $19.6 Million

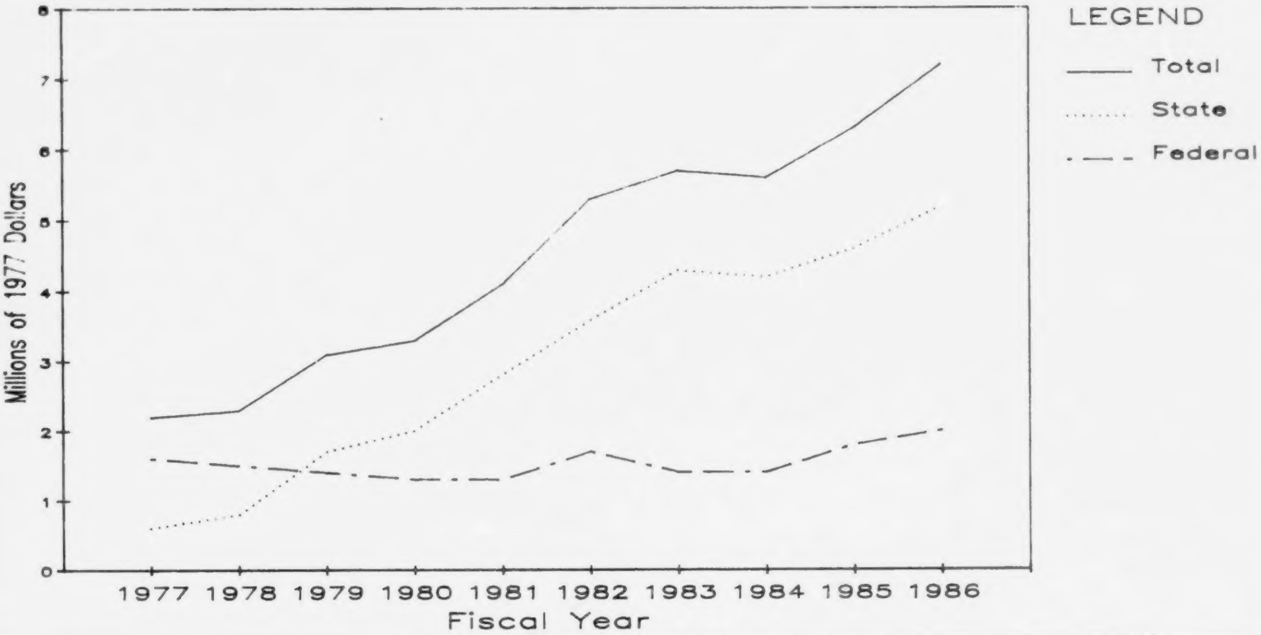
Average Daily Residents in Institutions



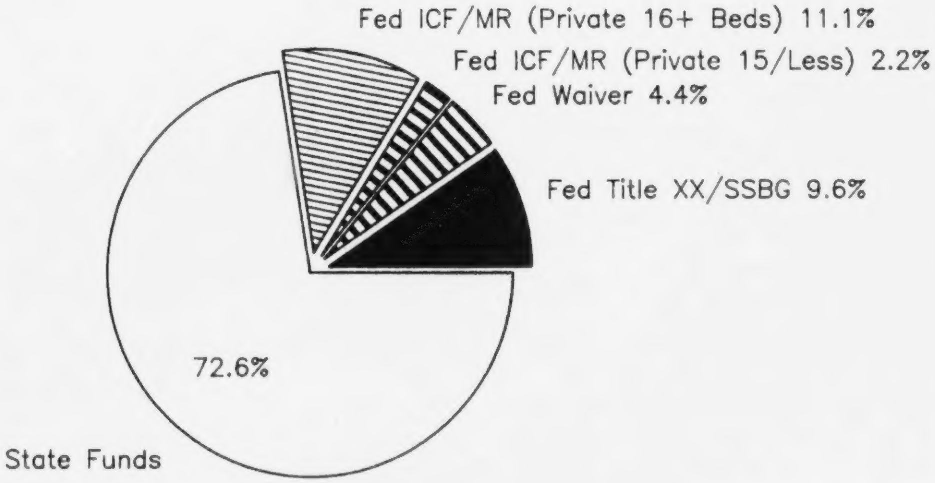
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEW MEXICO

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

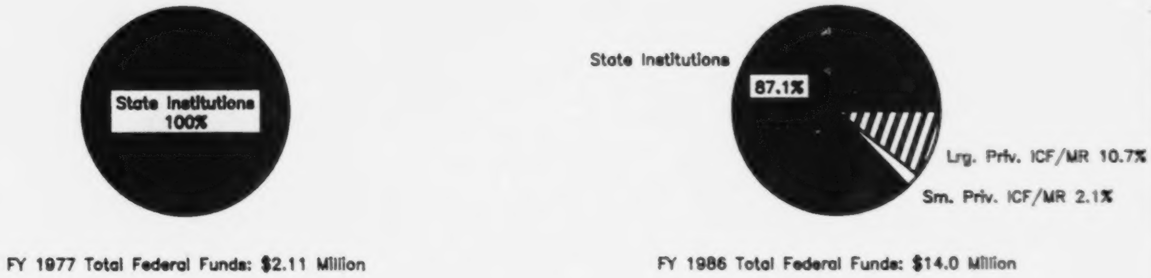


FY 1986 Total Funds: $13.6 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEW MEXICO

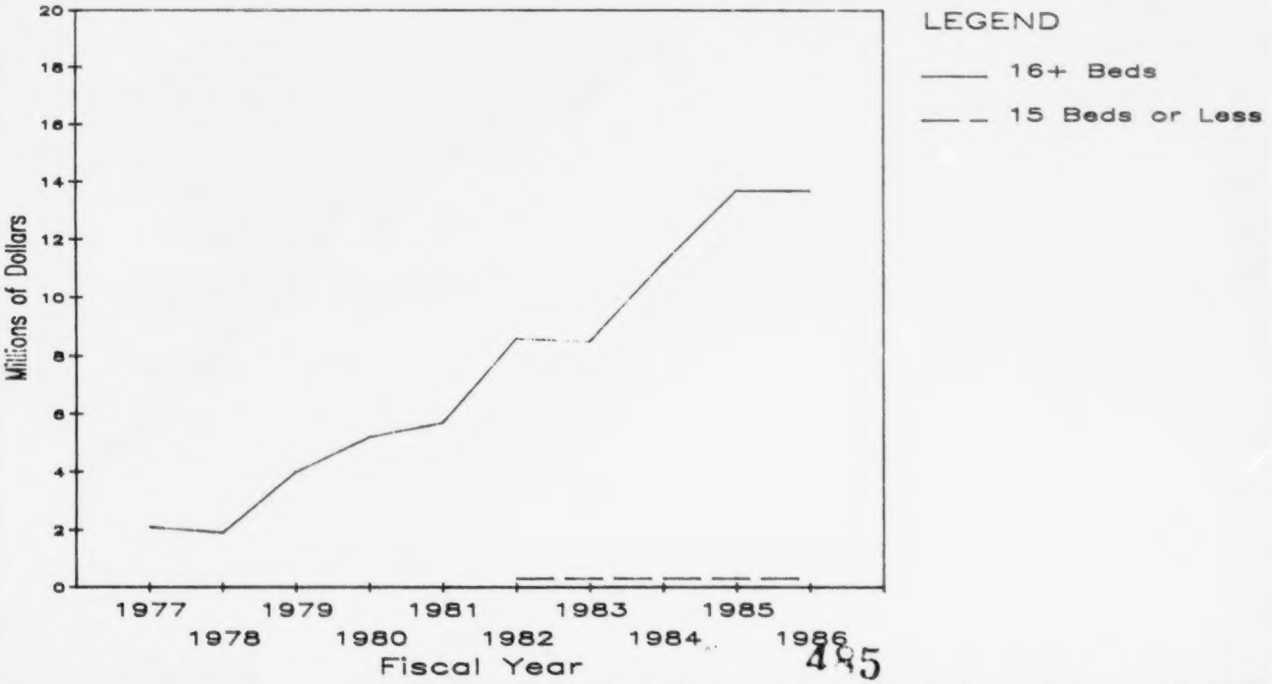
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $2.11 Million

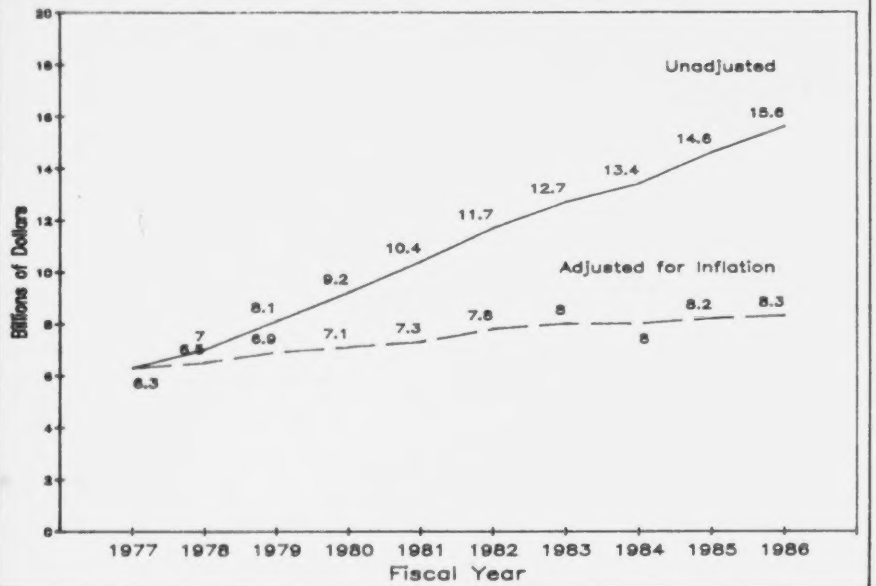
FY 1986 Total Federal Funds: $14.0 Million

By Facility Size, FY 1977–86

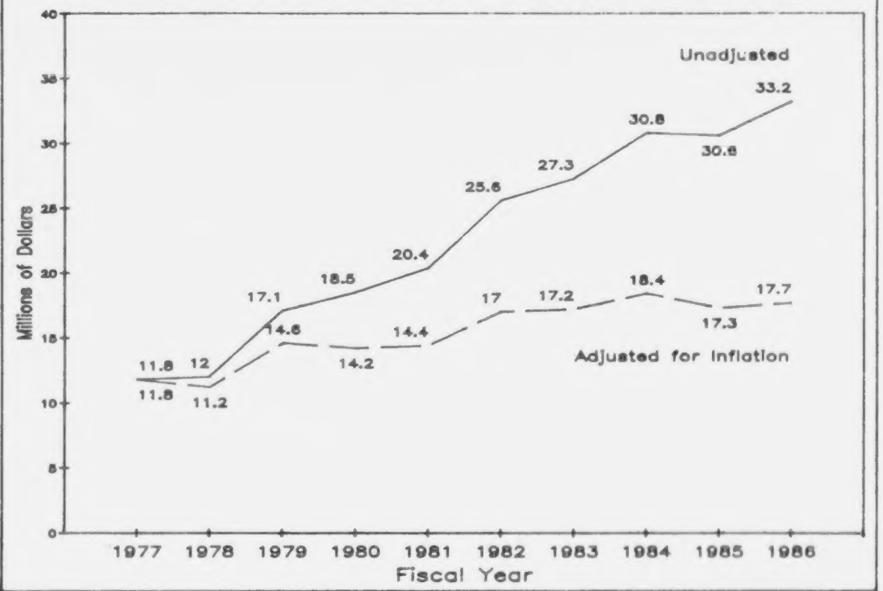


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

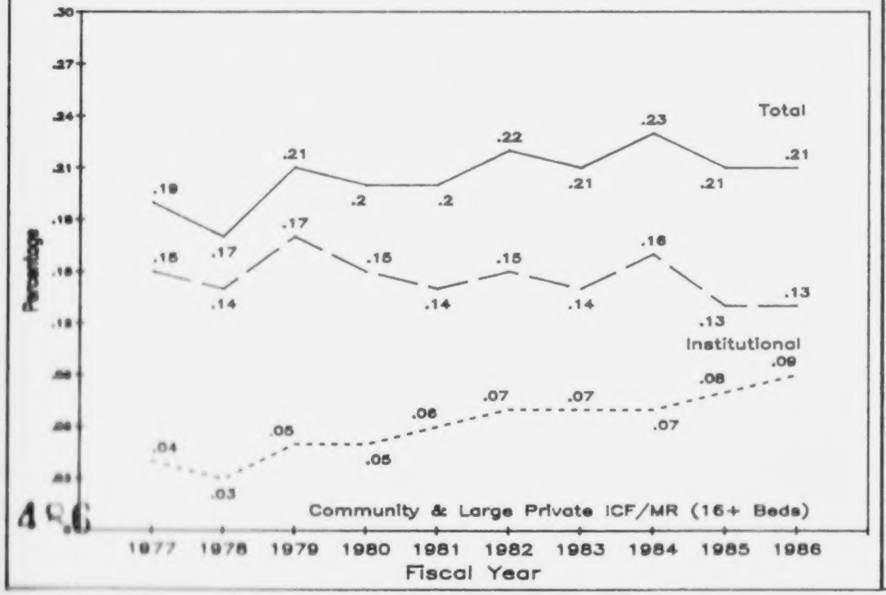
Personal Income in **NEW MEXICO**



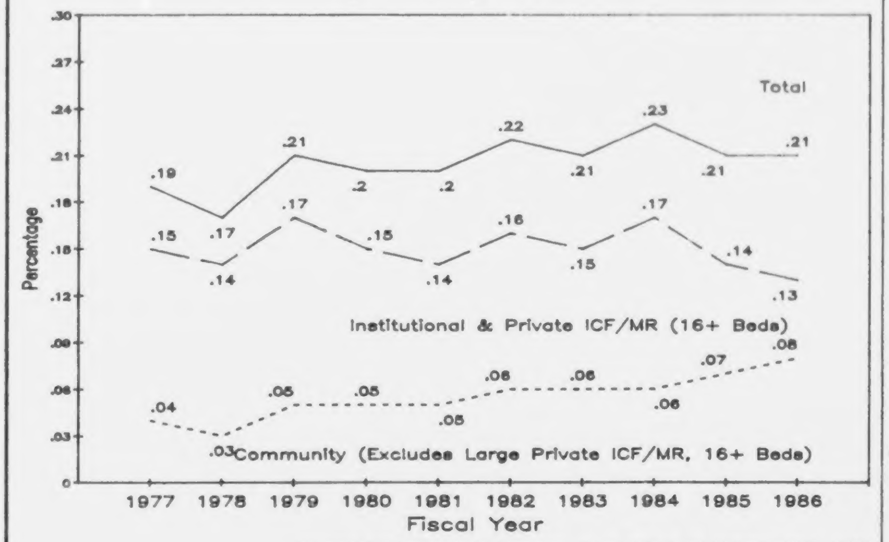
Total MR/DD Spending in the **NEW MEXICO**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

NEW MEXICO 8/29/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	19,023,000	19,799,000	25,571,000	28,067,000	31,909,000	38,475,000	41,074,000	45,751,800	47,563,600	50,613,300
TOTAL INSTITUTIONAL/COMMUNITY	11,789,000	12,007,000	17,101,000	18,465,000	20,391,000	25,625,000	27,327,000	30,783,800	30,567,600	33,202,300
STATE FUNDS	7,599,000	7,942,000	11,100,000	11,005,000	12,504,000	14,578,000	16,935,000	17,495,600	14,705,000	16,677,000
General Funds	6,829,000	7,185,000	9,542,000	8,668,000	9,937,000	10,193,000	12,707,000	11,283,700	7,798,100	9,578,900
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	770,000	757,000	1,558,000	2,337,000	2,567,000	4,385,000	4,228,000	6,211,900	6,906,900	7,098,100
FEDERAL FUNDS	4,190,000	4,065,000	6,001,000	7,460,000	7,887,000	11,047,000	10,392,000	13,288,200	15,862,600	16,525,300
Title XIX Funds	2,111,000	1,931,000	3,973,000	5,211,000	5,720,000	8,830,000	8,742,000	11,486,700	14,022,000	14,646,700
Title XX / SSBG Funds	1,626,000	1,626,000	1,642,000	1,656,000	1,643,000	1,865,000	1,331,000	1,290,200	1,336,800	1,336,900
Other Federal Funds	453,000	508,000	386,000	593,000	524,000	352,000	319,000	511,300	503,800	541,700
INSTITUTIONAL SERVICES FUNDS	9,572,000	9,561,000	13,445,000	14,205,000	14,621,000	17,622,000	18,343,000	21,345,500	19,352,800	19,635,000
STATE FUNDS	7,008,000	7,122,000	9,086,000	8,456,000	8,619,000	9,170,000	10,096,000	10,425,700	6,602,000	6,911,500
General Funds	6,238,000	6,365,000	7,528,000	6,142,000	6,161,000	5,214,000	6,224,000	4,687,100	513,100	679,300
Other State Funds	770,000	757,000	1,558,000	2,314,000	2,458,000	3,956,000	3,872,000	5,738,600	6,088,900	6,232,200
FEDERAL FUNDS	2,564,000	2,439,000	4,359,000	5,749,000	6,002,000	8,452,000	8,247,000	10,919,800	12,750,800	12,723,500
Federal ICF/MR	2,111,000	1,931,000	3,973,000	5,156,000	5,478,000	8,100,000	7,928,000	10,408,500	12,247,000	12,181,800
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	453,000	508,000	386,000	593,000	524,000	352,000	319,000	511,300	503,800	541,700
COMMUNITY WITH FEDERAL INCOME MAINT	9,451,000	10,238,000	12,126,000	13,862,000	17,288,000	20,853,000	22,731,000	24,406,300	28,210,800	30,978,300
COMMUNITY SERVICES FUNDS	2,217,000	2,446,000	3,656,000	4,260,000	5,770,000	8,003,000	8,984,000	9,438,300	11,214,800	13,567,300
STATE FUNDS	591,000	820,000	2,014,000	2,549,000	3,885,000	5,408,000	6,839,000	7,069,900	8,103,000	9,765,500
General Funds	591,000	820,000	2,014,000	2,526,000	3,776,000	4,979,000	6,483,000	6,596,600	7,285,000	8,899,600
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	0	0	0	23,000	109,000	429,000	356,000	473,300	818,000	865,900
FEDERAL FUNDS	1,626,000	1,626,000	1,642,000	1,711,000	1,885,000	2,595,000	2,145,000	2,368,400	3,111,800	3,801,800
ICF/MR Funds	0	0	0	55,000	242,000	730,000	814,000	1,078,200	1,775,000	1,844,100
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	254,100	266,800	280,200	294,200	308,900
Large Private	0	0	0	55,000	242,000	475,900	547,200	798,000	1,480,800	1,535,200
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	620,800
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	620,800
Title XX / SSBG Funds	1,626,000	1,626,000	1,642,000	1,656,000	1,643,000	1,865,000	1,331,000	1,290,200	1,336,800	1,336,900
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	7,234,000	7,792,000	8,470,000	9,602,000	11,518,000	12,850,000	13,747,000	14,968,000	16,996,000	17,411,000
Suppl. Security Income (SSI)	5,352,000	5,701,000	6,032,000	6,707,000	7,882,000	8,803,000	9,378,000	10,452,000	11,492,000	12,137,000
Childhood Disability (SSDI)	1,882,000	2,091,000	2,438,000	2,895,000	3,636,000	4,047,000	4,369,000	4,516,000	5,504,000	5,274,000
F.F.P. Rate	73.29%	72.20%	71.84%	69.73%	69.03%	67.65%	67.19%	68.84%	69.39%	68.94%
Daily Institutional Population	584	575	539	552	536	532	492	472	474	472
Institutional Per Diem	44.91	45.56	68.34	70.31	74.73	90.75	102.14	123.56	111.86	113.97

NEW YORK

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services in New York are managed by the Office of Mental Retardation/Developmental Disabilities (OMR/DD). Prior to FY 1978 (April 1, 1977 to March 31, 1978) there was a Division for MR/DD within the Department of Mental Hygiene. Although OMR/DD was larger than most of the 40 Departments in New York state government, statutory limitations on the number of Departments, which were in effect in FY 1978, resulted in its designation as an "Office." The Director of the OMR/DD is appointed by and reports directly to the Governor, and the Office therefore functions as a cabinet-level department.

Budget Format. The budgeting formats for OMR/DD changed during the period of our analysis, as indicated in the State of New York Executive Budget documents:

(FY 1977)
- Prevention and Care
  - State Purposes
  - Local Assistance
  - Federal Funds

(FY 1978-81)
- Prevention and Care
  - State Purposes
  - Local Assistance
  - Federal Funds
- Family Care/Personal Care
- Executive Management
- Quality Assurance
- Res. Resources and Reimb.
- Court-ordered
- Youth Opportunity
- Research in MR/Institute for Behavioral Research

(FY 1982-83)
- State Operations
  - General Fund
  - Special Revenue-Other
  - Enterprise
- Aid to Localities
  - General Fund

(FY 1984)
- State Operations
- Aid to Localities
- [Capital Projects]*

Subtotals Below:
- Institutional Services
- Community Services
  - State Operations
  - Aid to Localities
- Executive Management
- Quality Assurance
- Revenue and Reimbursements
- Research in MR
- Court Ordered

*Non-Add item

Note on Data Sources. State of New York Executive Budget documents were reviewed for FYs 1978-84 (April 1, 1977 through March 31, 1984). These documents provided expenditure figures classified as "available" for FYs 1977-83 and "recommended" in FY 1984 (these classifications of expenditures were subsequently modified). Although tables in the FYs 1978-83 budget documents provided "institutional costs" as a subset of OMR/DD, more detailed information on Federal ICF/MR and other fund sources was required. Therefore state officials in OMR/DD and in other state offices were contacted.

A series of personal communications (telephone and correspondence) with OMR/DD and other state agency officials provided final expenditure figures utilized in the analysis. The initial correspondence (1/3/84) from Raymond Seymour, Director, Fiscal and Contracts Management, OMR/DD, provided FYs 1979-84 institutional and community expenditures labeled "state purposes" and sub-categorized as "personal services" and "non-personal services." Subsequent (1/6/84) correspondence from Seymour provided Local Assistance, Medicaid (ICF/MR), and various other revenues and Federal fund sources for FYs 1980-83. In addition to these figures, the 1/3/84 correspondence had provided expenditure figures for "maintenance undistributed" for FYs 1979-84 (separated by the state into community/institutional for FYs 1982-84 only).

In a subsequent personal communication (telephone, 1/31/84) Barbara Baciewicz, Fiscal Management and Analysis, OMR/DD, indicated that "maintenance undistributed" consisted of funds for either institutional or community program elements, earmarked in order to track how funds were spent (e.g. "for day programs" or "for therapeutic local services"). This funding was at times a result of legislative initiative, but in general funds were earmarked separately by budget officials in OMR/DD for tracking expenditures. Community and institutional shares of maintenance undistributed funds were calculated in our analysis based on the community/institutional ratio of all other state funds. Maintenance undistributed funds ranged from $30.0 million in FY 1979 to $72.0 million in FY 1984.

A draft of our analysis of New York's community and institutional services expenditures was mailed to OMR/DD officials February 3, 1984. In subsequent telephone follow-up discussions Seymour and Baciewicz clarified that employee fringe benefits expenditures were not included in the budget document figures which were the bases of our analysis, nor in the supplementary figures provided in correspondence. Seymour and Baciewicz indicated that Federal ICF/MR revenue and other Federal revenues not "grant specific" would have to be offset against General Fund each year. We therefore revised the analysis to reflect the increase in community and institutional services resulting from inclusion of the employee benefits expenditures; the analysis also reflects the offset of Federal ICF/MR revenues, and of 90% of "resident fees" (for institutional services) and of "non-resident fees" (for community services)--see notes below.

Most of the General Fund expenditures for community services were for grants to, or purchase of service contracts with, private service providers; hence, employee benefits for community expenditures were less than for institutional services.

Spending figures for FY 1984 and FY 1985 (expenditures) and FY 1986 (available) were provided by Frank DiDomenico, Supervisor, Fiscal Services, OMR/DD (p.c., correspondence, 5/14/86). The figures represented spending at twenty developmental centers, and at two Discrete Mental Retardation Units (DMRUs) within psychiatric facilities operated by the New York Office of Mental Hygiene. Fund sources were reported as State Purposes--General Fund (Personal Service, Non-Personal Service, Maintenance Undistributed) and Federal Funds (Title XIX--Personal Service). As noted above, fringe benefits (health insurance, unemployment, etc.) were accounted for outside of OMR/DD, and we utilized a factor of 30.1% in FY 1984, 32.02% in FY 1985 and 32.82% in FY 1986 to increase the personal service figures (both State Purposes--General Fund, and Title XIX--Personal Service).

We received revenue information from the Division of Revenue Management (p.c., correspondence, Seth Edelman, Supervisor, OMR/DD Accounts, 3/28/86). The correspondence reported Resident and Non-Resident revenue, amounting to OMR/DD totals of $403,214.9 thousand in FY 1985 and $478,070.2 thousand in FY 1986. FY 1986 revenues, and their assignment to our Institutional Services analysis categories, were:

Revenue Type	FY 1986 Amount	Category in Analysis	Note
Direct Fees-ICF/MR	$23,758.5	8% Other State 92% Other Federal	Mostly Soc.Sec.
Medicaid Dev. Ctr. & Special Program	369,370.4	Federal ICF/MR	
Medicare B	6,263.8	Other Federal	
School Meals	597.6	Other Federal	
OMRDD Salary Sharing	13,051.4	Federal ICF/MR	(Title XIX Admin.Funds)
Survey Operations	408.0	Federal ICF/MR	
Other (Miscellaneous)	376.3	Other State	
Foster Grandparents	171.5	Other Federal	
Institutional Revenue:	$413,997.5		

These revenues were treated as offsets against expenditure figures reported by OMR/DD Fiscal Services. In other words, we totalled the Fiscal Services figures--including the addition of Title XIX-Personal Service to the analysis figure "General Fund"--to arrive at total Institutional expenditures. Then, the analysis figure for General Fund was decreased in the amount of the various revenue figures reported by the Division of Revenue. A FY 1986 mid-year population figure for the developmental centers and DMRU's was provided in the 3/25/86 correspondence from OMR/DD Fiscal Services. The FY 1985 figure was determined by interpolation of FY 1984 and FY 1986.

For community services, FY 1984 and FY 1985 (expenditures) and FY 1986 (available) figures were provided in the 5/14/86 correspondence from OMR/DD Fiscal Services. The components were: State Purposes--General Fund (Personal Service, Non-personal Service, Maintenance Undistributed); Federal Funds (Title XIX--Personal Service); Aid to Localities (General Fund); and Private ICF/MR (Federal Share and State Share). As with Institutional Services (see discussion above), the personal services General Fund amounts were increased to reflect the cost of employees' fringe benefits. And, additional figures reflecting revenues were obtained from the 3/28/86 correspondence provided by the Division of Revenue Management. For FY 1986, these figures were:

Revenue Type	FY 1986 Amount	Category in Analysis	Note
Direct Fees-Community-Based Facilities	$6,638.4	1% Other State 99% Other Federal	Mostly Soc.Sec.
ICF/DD State	44,458.5*	Federal ICF/MR; State-op. Grp Home	
Medicaid-Clinics	19.7**	Title XIX Day Program	
Medicaid Day Treatment	2,768.1**	Title XIX Day Program	
ICF/DD Recoupments	7,573.2	50% assigned to General Fund 50% assigned to Private ICF/MR (in proportion to Small/Large expenditure shares)	
Transportation	2,614.9**	Title XIX Day Program	

Community Revenue: $64,072.8

The table above notes with an asterisk (*) the revenue figures associated with State-operated ICFs/DD, and two asterisks (**) designate Title XIX day treatment programs. In addition to these state-operated day treatment programs, operated by OMR/DD, there were expenditures for day treatment programs which were privately operated, and funded by the Department of Social Services (D.S.S.). Expenditure and Title XIX revenue figures for these privately-operated day treatment programs were provided by Wakeman Gardner, Division of Revenue Management (p.c., telephone, 5/13/86) for FY 1979 through FY 1986. Our analysis for previous years was thus adjusted to reflect the addition of these expenditures and Title XIX revenues. Finally, prior years' expenditure and Title XIX revenue figures for state-operated day treatment programs (initiated in FY 1981) were provided by Seth Edelman (p.c., telephone, 5/13/86).

As was the case with institutional services, the revenue figures in the table above which were provided by the Division of Revenue were treated as offsets against the expenditure figures reported by OMR/DD Fiscal Services, except in the case of privately operated Day Treatment programs. Since these programs were funded by D.S.S., the state share funds were added to General Fund, and the Federal share was added to the analysis category Title XIX Day Program.

The following table summarizes, for FY 1986, the component parts of community services expenditures (in thousands of $s):

Expenditure or Revenue Category	FY 1986 Amount
Aid to Localities	$173,693.0
State Purposes (Personal Service, Fringe Benefit, Maintenance Undistributed, Non-personal Service)	95,984.7
Title XIX-Personal Service (plus Fringe)	95,364.8
State Match, Private ICF/MR	82,889.5
State Match, Private Day Treatment	17,273.3
50% of ICF Recoupment (Div. of Revenue)	3,786.6
Subtract 25 on-grounds State-op ICFs/DD	(5,458.8)
Subtract Division of Revenue amounts (Other State, Other Fed, ICF Recoupment Federal Share, State-op Day Treatment Federal Share, State-op ICF/DD Federal)	(60,286.2)
Analysis Category GENERAL FUND	403,249.9
Analysis Category OTHER STATE FUNDS	66.4
FEDERAL FUNDS CATEGORIES:	
State-operated ICF/DD Federal Share	44,458.5
Subtract 25 on-grounds Federal Share	(5,458.8)
Analysis Category SMALL PUBLIC ICF/MR	38,999.7
Analysis Category SMALL PRIVATE ICF/MR	81,248.5
Analysis Category LARGE PRIVATE ICF/MR	5,427.6

(Note: ICF Recoupment Federal Share apportioned between Small and Large Private ICFs/MR)

Title XIX Day Treatment State-operated	5,402.7
Title XIX Day Treatment Privately-operated	17,273.3
Analysis Category TITLE XIX DAY PROGRAM	22,676.0
Analysis Category OTHER FEDERAL FUNDS	6,572.0

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the state and Federal funds expended for the developmental centers throughout the state. The Executive Budget documents provided aggregated developmental center population figures (mid-Fiscal year) and these were updated (p.c., telephone, Cindy McDonough, OMR/DD, 6/25/84; correspondence, F. DiDomenico, 5/14/86). These population figures, as well as the expenditure figures, included Discrete Mental Retardation Units (DMRUs) at the Office of Mental Health facilities; as well as other Special Developmental Disabilities units.

State General Fund. As indicated above in the discussion of data sources, our analysis of state fund expenditures included employee benefits. Federal ICF/MR revenue and 90% of the reported "resident fees" were offset against General Fund.

Other State Funds. These figures consisted of

An estimated 10%/year of figures reported as "resident fees"; and

A relatively small line item entitled "miscellaneous," which was, for example, "rent payment from institutional property."

Federal ICF/MR. A combination of sources was used to determine institutional, community, and private ICF/MR revenues for FYs 1977-84.

In FY 1981, the Health Care Financing Administration in Washington reported New York's Federal ICF/MR receipts at $383.633 million. The 1/6/84 correspondence from OMR/DD had reported FY 1981 institutional services ICF/MR revenues of $265.529 million (consisting of Medicaid ICF/MR, Utilization Review, Administrative Salary Sharing, and rate setting). The 1/6/84 correspondence had also reported community services Title XIX revenues of $9.69 million (consisting of Day Treatment Recoupment, Subchapter A/Other than Subchapter A, State-operated Day Training, State-operated ICF/DD, and Voluntary ICF Recoupments).

To determine private ICF/MR reimbursements, we subtracted the OMR/DD figures for institutional and community services Federal ICF/MR revenue figures (from New York OMR/DD sources) from the HCFA-source Federal ICF/MR figure for each year.

The 1/6/84 OMR/DD correspondence included a footnote indicating that the FY 1982 institutional services Federal ICF/MR figure "Includes $52 million pended upon rate appeal."

The following table indicates these procedures, for FYs 1981, '82, and '83:

Source of Data	Description	FY 1981	FY 1982	FY 1983
HCFA	N.Y Federal Share ICF/MR	$383,633,000	$405,710,000	$434,727,000
OMR/DD	Institutional Services Federal ICF/MR	($265,529,000)	($387,015,000)	($326,170,000)
OMR/DD	Com. Services Federal ICF/MR	($ 9,690,000)	($ 9,912,000)	($24,422,000)
Subtraction of OMR/DD figures from HCFA figures	**Estimated Private ICF/MR Federal Share**	$108,414,000	$ 8,783,000	$ 84,135,000

To more effectively represent private ICF/MR Federal-Share expenditures for these three years, we combined the FYs 1981-83 private ICF/MR Federal figures as calculated in the table above and then divided by three, to arrive at an "average" of $67,111,000 as the private ICF/MR Federal Share reimbursements for each year.

The 1/6/84 OMR/DD correspondence had not provided FYs 1977-79 institutional and community service Federal ICF/MR revenue figures. We used HCFA reimbursement data for these years, and attributed all reimbursements to institutional services.

As another reference to the levels of Federal ICF/MR revenues, we also reviewed the fiscal data emanating from the FY 1983 revenue report of the New York State Department of Social Services (p.c., telephone, George Cusack, 2/3/84). These data were comparable to the information which OMR/DD provided (see table above).

FY 1983 OMR/DD ICF/MR Federal Revenue
Source: New York State Social Services Department

OMR/DD ICF/MR	$ 325,300,000
OMR Private Hospital	2,450,000
SUBTOTAL INSTITUTIONAL ICF/MR	$ 327,750,000
Community-based ICF/MR	$ 7,500,000
Subchapter A-State-operated	850,000
Subchapter A-Day Training	12,950,000
OMR Personal Care/Home Care, etc.	2,250,000
SUBTOTAL COMMUNITY ICF/MR	$23,550,000

Other Federal Funds consisted of (these are FY 1983 percentages) Medicare (31%), School Lunch Program (5%); Disabled Children's Program (4%); Foster Grandparents (3%); ESEA Title I (2%). The remaining 55% consisted of the estimated Federal portion of "resident fees" (p.c., telephone, M. Rosenfeld, 2/1/84; 4/16/84). OMR/DD, since FY 1977, has modified parental financial liability, and instituted a billing system which collected resident contributions as a "spend-down" in meeting Medicaid reimbursement requirements. Residents in developmental centers contributed their resources gained through all Social Security titles (except the $28.50/month personal allowance); through Railroad Retirement; CHAMPUS; Union Benefits, Health Insurance, etc. According to Rosenfeld (p.c., telephone, 2/1/84) in one month (February, 1984) 5995 of 6813 individual accounts in the billing system were Social Security related--a total of $1.46 million, or 89% of all patient accounts.

III. COMMUNITY SERVICES FUNDS

Community services consisted of OMR/DD funds bugeted for personal services and non-personal services State Purposes; Local Assistance (Mortgage Interest, Chapter 412, Unified Services, Direct Sheltered Workshop, Chapter 620, Chapter 620-CR, Chapter 978, and, in recent years a variety of residential and day services programs including:

Operation of Community Residences
Home Care
Family-Personal Care
Chapter 720
Subchapter A
Special Olympics
ICF/DD
Neurologically Impaired
Capital Aid
Community-based Care
General Operating Expense,
and a number of other smaller services components.

State General Fund. See notes on data sources above for an explanation of the inclusion of fringe benefits, and the exclusion of Federal ICF/MR revenues and of Other Federal sources ("Non-resident Fees") from the General Fund figures.

Other State Funds consisted of an estimated 10% of non-resident fees, contract recoveries, Subchapter-A spend-down, and special services.

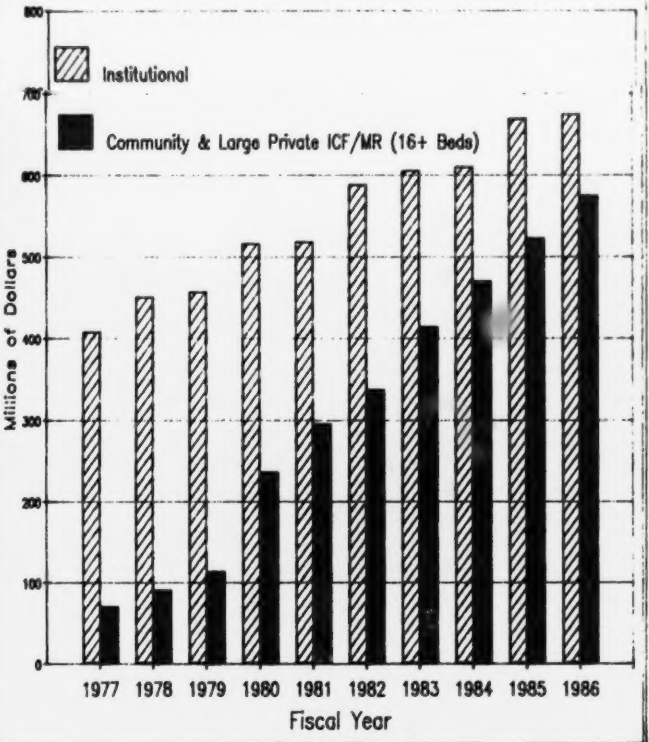
Small Public ICF/MR. There were a total of 179 state-operated ICFs/DD, at an average of 9.6 beds per facility (four facilities, with 80 total beds, had 16 beds or more). Twenty-five facilities, with a total of 211 beds, were located on the grounds of OMR/DD Developmental Centers. Consistent with our project's definitions, and utilizing a per diem of $141.76 for these 25 facilities, we re-assigned $10,917.6 thousand (50% Federal ICF/MR; 50% General Fund) in FY 1986 from community services to institutional services.) For FY 1985 and FY 1984, we estimated that these 25 "on-grounds" facilities had grown at the same rate as state-operated ICFs/DD over-all, and used this basis for estimating the amount of expenditures and revenues to re-assign in those years.

Private ICF/MR. Utilizing individual facility bed inventories (p.c., correspondence, Seth Edelman, 3/28/86), we were able to determine the numbers of facilities and sizes of community-based ICFs/MR. In FY 1986, there were a total of 427 voluntarily operated ICFs/DD of fifteen beds or less, with an average 8.2 beds/facility (our category Private ICF/MR Small), and 27 voluntary ICFs/DD of 16 beds or more, with an average of 42 beds each (Private ICF/MR Large). We also obtained expenditure estimates for FY 1986 for the ICF/MR Small and Large categories (p.c., telephone, Roy Hogeboom, Division of Rate-Setting, 5/19/86). We utilized the ratio of ICF/MR Small to ICF/MR Large from FY 1986 to break out the expenditures and revenues in the prior years.

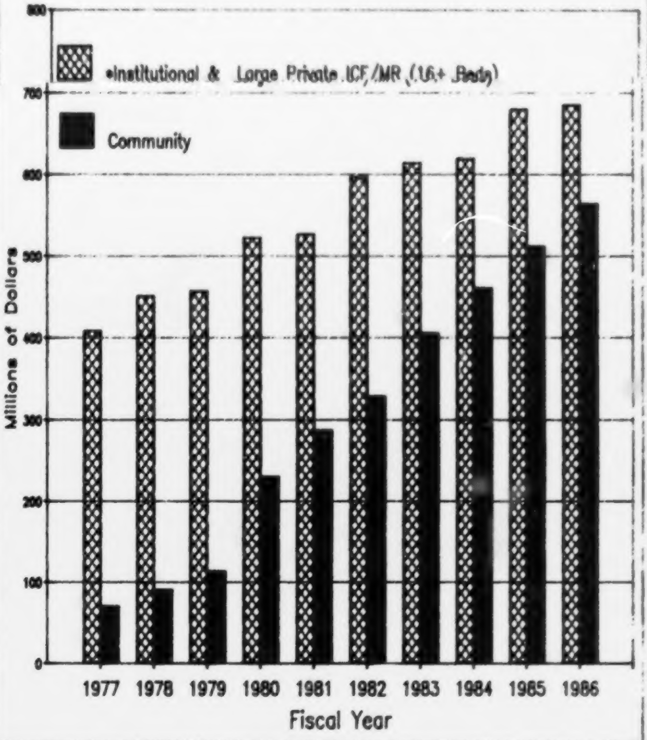
Federal Title XX/SSBG consisted of Federal Title XX training program funds. Title XX/Block Grant funds were used for MR/DD-related services such as case management, foster care, or other programs offered by the New York Department of Social Services to various population groups in need could not be identified. It should also be noted that it was because of OMR/DD initiative in the area of community-based Title XIX ICF/MR programs that the agency did not benefit from Title XX funds like many other states which relied heavily on this revenue source for community program development--in New York, the Title XX funds went to programs not capable of accessing Title XIX, such as various Department of Social Services programs for youth, the elderly, etc.

Other Federal Funds consisted of: 90% of "Non-resident fees"; and Developmental Disabilities Planning Council DD Program Funds (correspondence figures supplemented by Sandy Pettinata, OMR/DD,--p.c. telephone, 2/1/84).

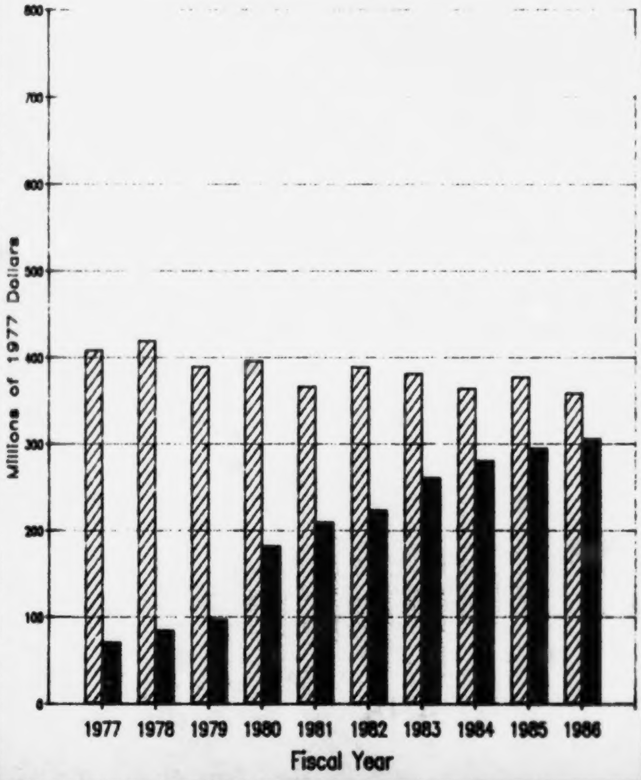
MR/DD Expenditures for *Institutional* & *Community* Services



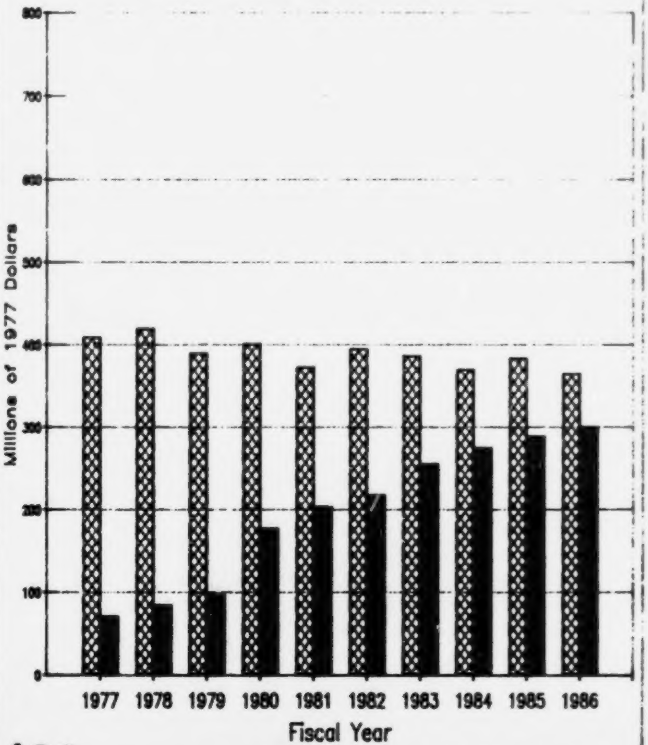
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



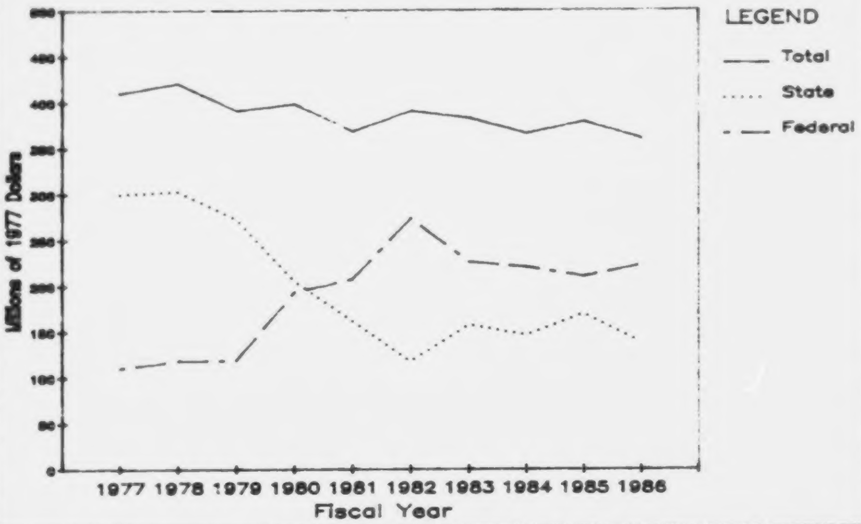
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

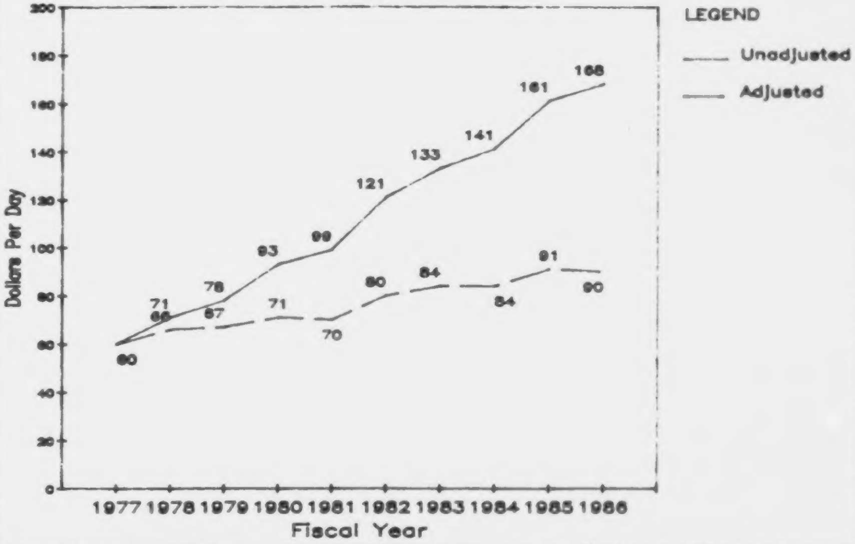
NEW YORK

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

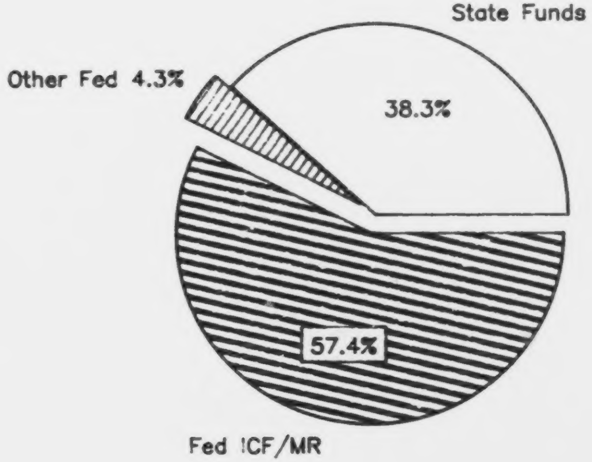


NEW YORK

Institutional Per Diem Costs: FY 1977–86

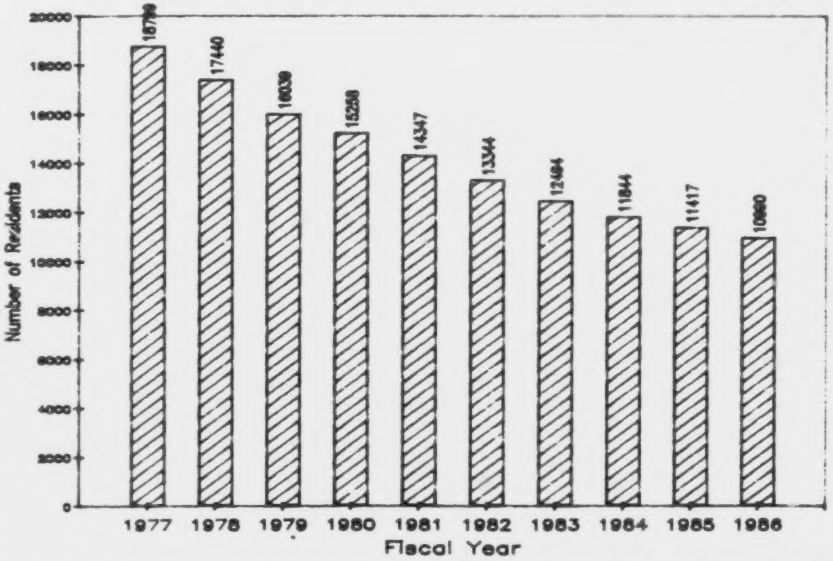


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $675.9 Million

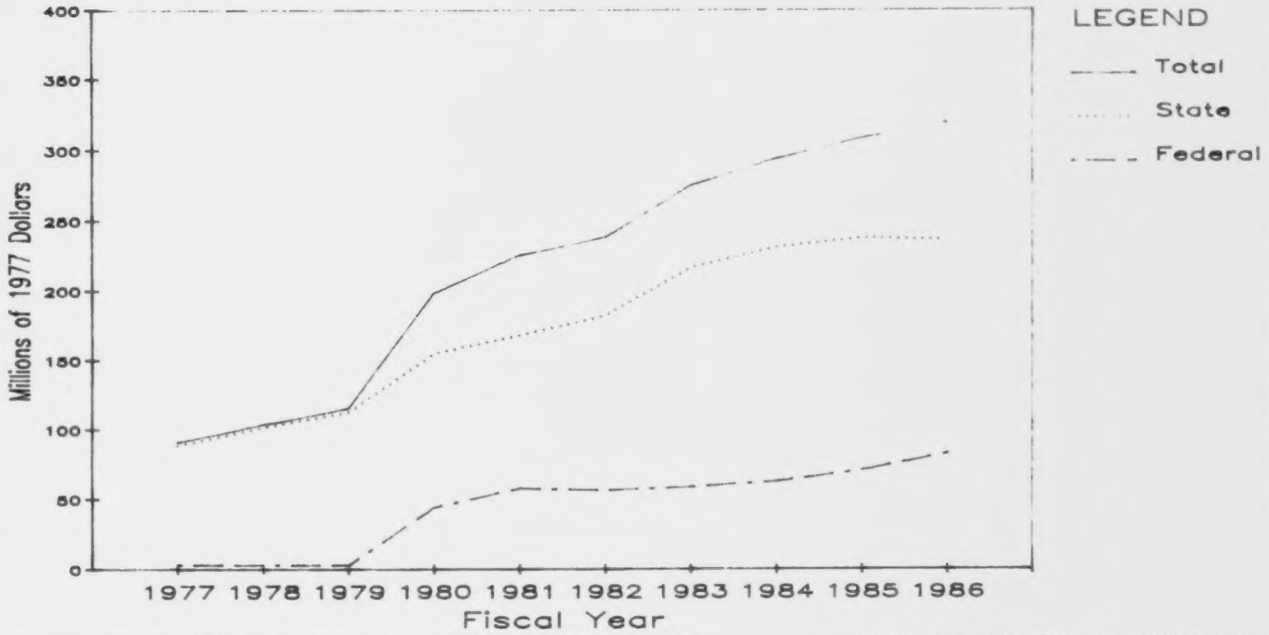
Average Daily Residents in Institutions



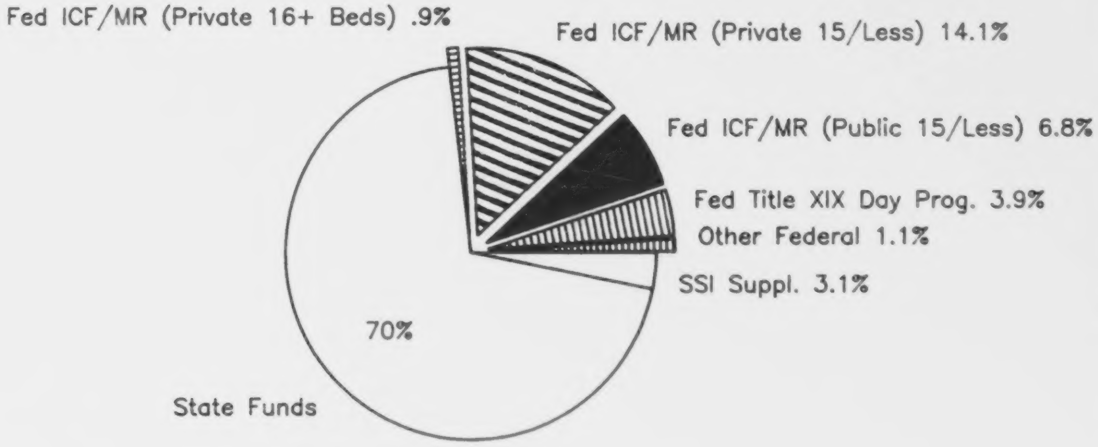
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEW YORK

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

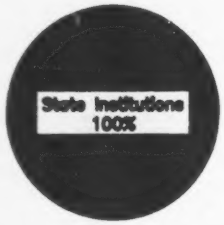


FY 1986 Total Funds: $576.4 Million

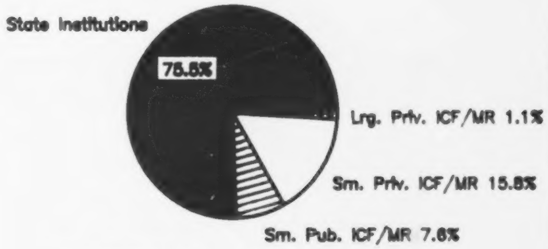
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEW YORK

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

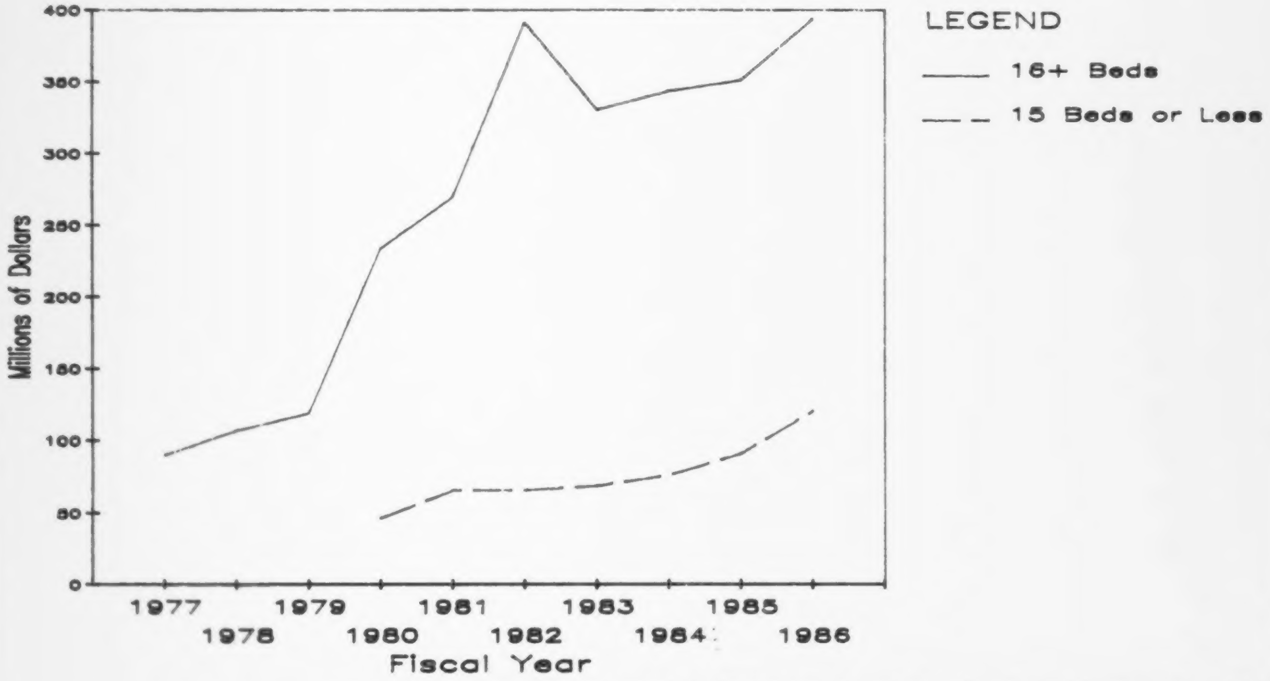


FY 1977 Total Federal Funds: $90.2 Million

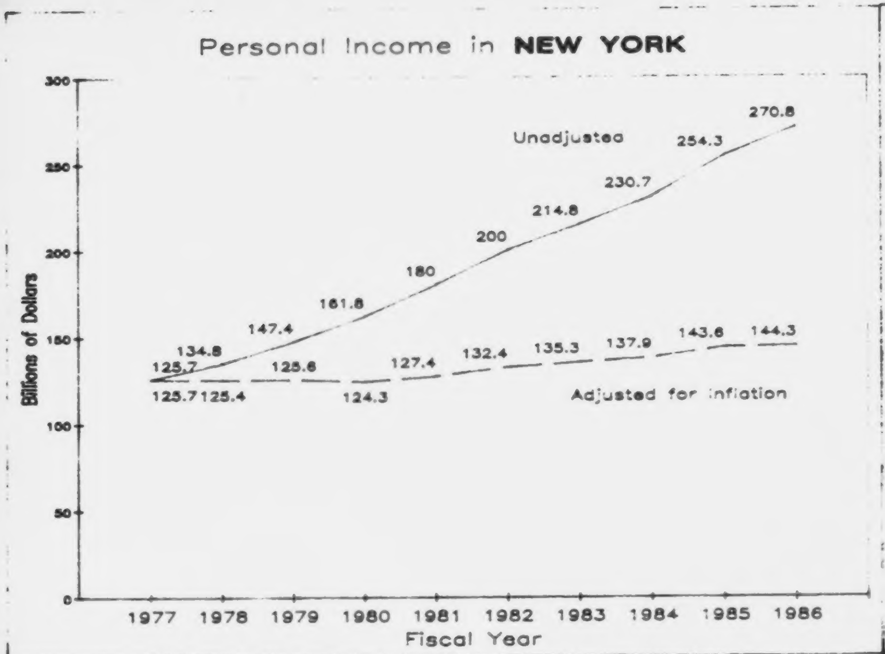


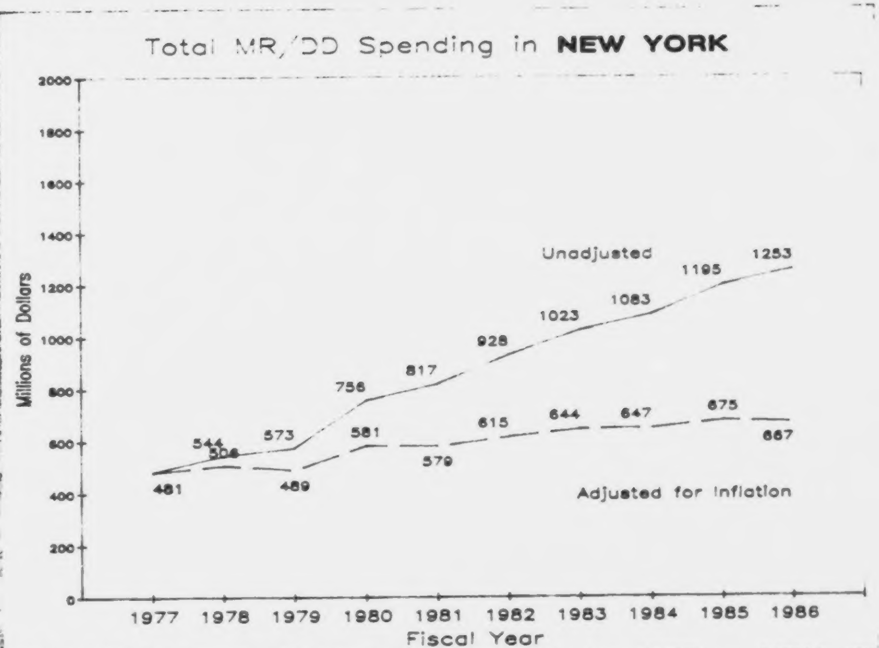
FY 1986 Total Federal Funds: $514 Million

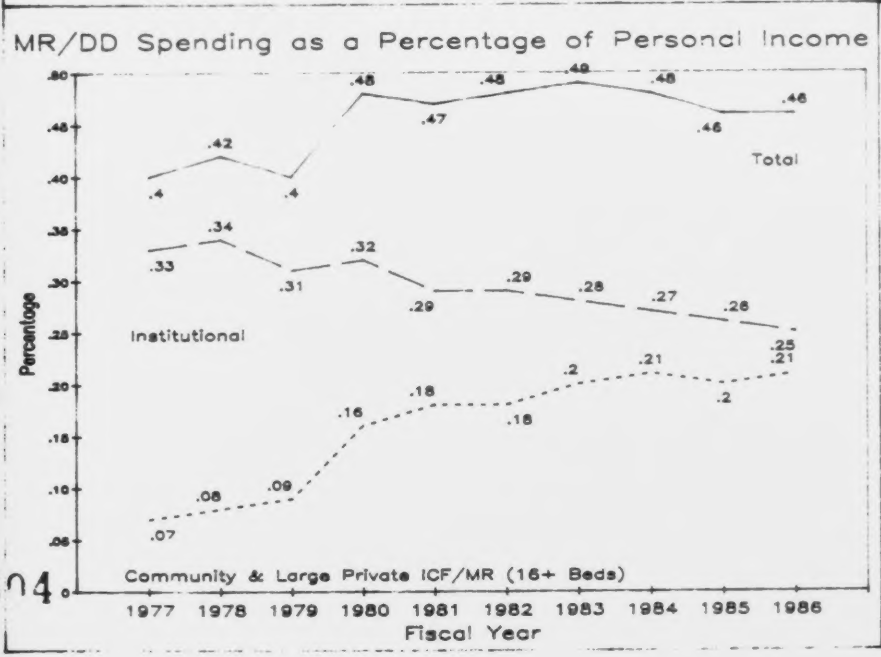
By Facility Size, FY 1977–86

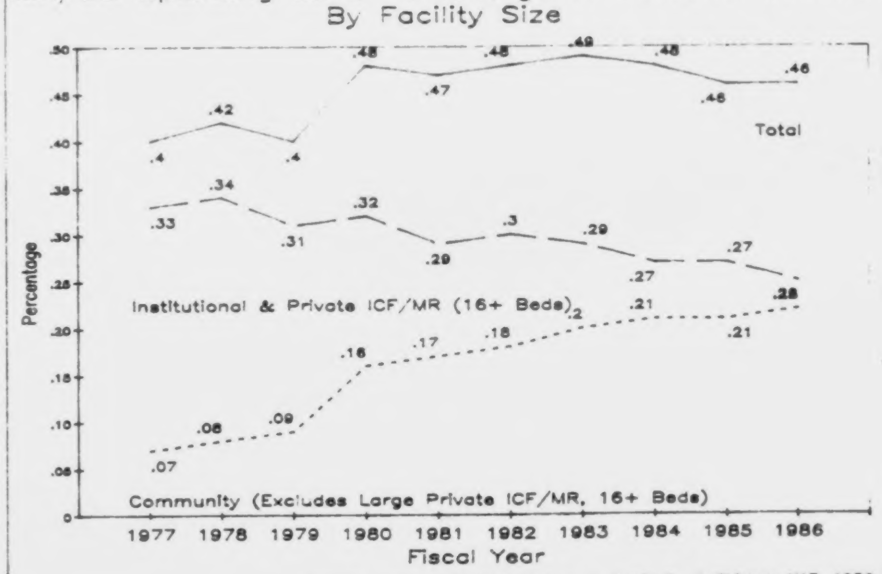


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986


Personal Income in **NEW YORK**


Total MR/DD Spending in **NEW YORK**


MR/DD Spending as a Percentage of Personal Income


MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NEW YORK 5/20/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	567,745,000	636,696,000	672,657,000	868,419,900	951,090,150	1,075,708,550	1,178,981,150	1,251,798,600	1,384,311,400	1,456,476,100
TOTAL INSTITUTIONAL/COMMUNITY	481,182,000	544,222,000	573,447,000	755,936,900	817,224,150	928,704,550	1,022,790,150	1,082,936,600	1,194,622,400	1,252,279,100
STATE FUNDS	368,049,000	414,095,000	431,069,000	447,604,300	443,118,050	431,032,450	571,569,750	610,456,700	698,235,200	680,176,000
General Funds	351,318,000	397,156,000	413,715,000	430,107,300	418,257,050	413,160,450	552,667,750	591,740,700	679,755,100	659,690,600
SSI State Supplement	14,364,000	14,572,000	14,987,000	15,130,000	15,546,000	15,625,000	15,734,000	15,548,000	16,446,000	18,142,000
Other State Funds	2,367,000	2,367,000	2,367,000	2,367,000	9,315,000	2,247,000	3,168,000	3,168,000	2,034,100	2,343,400
FEDERAL FUNDS	113,133,000	130,127,000	142,378,000	308,332,600	374,106,100	497,672,100	451,220,400	472,479,900	496,387,200	572,103,100
Title XIX Funds	90,180,000	107,074,000	119,025,000	284,239,600	342,956,100	466,815,100	413,216,400	437,599,900	464,537,800	536,640,400
Title XX / SSBG Funds	836,000	836,000	836,000	620,000	391,000	391,000	261,000	261,000	0	0
Other Federal Funds	22,117,000	22,217,000	22,517,000	23,473,000	30,759,000	30,466,000	37,743,000	34,619,000	31,849,400	35,462,700
INSTITUTIONAL SERVICES FUNDS	409,904,000	452,615,000	458,745,000	517,925,000	519,835,000	589,855,000	607,384,000	611,882,800	670,573,300	675,897,000
STATE FUNDS	299,607,000	325,424,000	319,603,000	266,924,000	227,295,000	177,208,000	249,465,000	244,199,300	299,276,900	258,717,700
General Funds	298,101,000	323,918,000	318,097,000	265,418,000	225,425,000	175,263,000	246,764,000	241,498,300	297,306,900	256,440,700
Other State Funds	1,506,000	1,506,000	1,506,000	1,506,000	1,870,000	1,945,000	2,701,000	2,701,000	1,970,000	2,277,000
FEDERAL FUNDS	110,297,000	127,191,000	139,142,000	251,001,000	292,540,000	412,647,000	357,919,000	367,683,500	371,296,400	417,179,300
Federal ICF/MR	90,180,000	107,074,000	119,025,000	230,884,000	265,529,000	387,015,000	326,170,000	339,058,500	345,795,800	388,288,600
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	20,117,000	20,117,000	20,117,000	20,117,000	27,011,000	25,632,000	31,749,000	28,625,000	25,500,600	28,890,700
COMMUNITY WITH FEDERAL INCOME MAINT	157,841,000	184,081,000	213,912,000	350,494,900	431,255,150	485,853,550	571,597,150	639,915,800	713,738,100	780,579,100
COMMUNITY SERVICES FUNDS	71,278,000	91,607,000	114,702,000	238,011,900	297,389,150	338,849,550	415,406,150	471,053,800	524,049,100	576,382,100
STATE FUNDS	68,442,000	88,671,000	111,466,000	180,680,300	215,823,050	253,824,450	322,104,750	366,257,400	398,958,300	421,458,300
General Funds	53,217,000	73,238,000	95,618,000	164,689,300	192,832,050	237,897,450	305,903,750	350,242,400	382,448,200	403,249,900
SSI State Supplement	14,364,000	14,572,000	14,987,000	15,130,000	15,546,000	15,625,000	15,734,000	15,548,000	16,446,000	18,142,000
Other State Funds	861,000	861,000	861,000	861,000	7,445,000	302,000	467,000	467,000	64,100	66,400
FEDERAL FUNDS	2,836,000	2,936,000	3,236,000	57,331,600	81,566,100	85,025,100	93,301,400	104,796,400	125,090,800	154,923,800
ICF/MR Funds	0	0	0	49,337,300	69,963,300	70,066,900	73,225,900	80,789,900	96,311,500	125,675,800
Small Public	0	0	0	434,000	2,852,000	2,955,600	6,114,600	8,460,900	11,921,400	38,999,700
Small Private	0	0	0	45,822,392	62,883,300	62,883,300	62,883,300	67,772,300	79,073,500	81,248,500
Large Private	0	0	0	3,080,908	4,228,000	4,228,000	4,228,000	4,556,700	5,316,600	5,427,600
Other Title XIX Funds	0	0	0	4,018,300	7,463,800	9,733,200	13,820,500	17,751,500	22,430,500	22,676,000
Title XIX Day Programs	0	0	0	4,018,300	7,463,800	9,733,200	13,820,500	17,751,500	22,430,500	22,676,000
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	836,000	836,000	836,000	620,000	391,000	391,000	261,000	261,000	0	0
Other Federal Funds	2,000,000	2,100,000	2,400,000	3,356,000	3,748,000	4,834,000	5,994,000	5,994,000	6,348,800	6,572,000
FEDERAL INCOME MAINTENANCE	86,563,000	92,474,000	99,210,000	112,483,000	133,866,000	147,004,000	156,191,000	168,862,000	189,689,000	204,197,000
Suppl. Security Income (SSI)	63,100,000	66,400,000	68,807,000	76,378,000	88,525,000	96,544,000	101,708,000	112,551,000	130,125,000	138,430,000
Childhood Disability (SSDI)	23,463,000	26,074,000	30,403,000	36,105,000	45,341,000	50,460,000	54,483,000	56,311,000	59,564,000	65,767,000
F.F.P. Rate	50.00%	50.00%	50.00%	50.00%	50.00%	50.66%	50.88%	50.00%	50.00%	50.00%
Daily Institutional Population	18,799	17,440	16,039	15,258	14,347	13,344	12,494	11,844	11,417	10,990
Institutional Per Diem	59.74	71.10	78.36	92.74	99.27	121.11	133.19	141.15	160.92	168.50

NORTH CAROLINA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services for the mentally retarded and developmentally disabled citizens of North Carolina are administered by the Division of Mental Health and Mental Retardation Services, Department of Human Resources.

Budget Format. North Carolina budget documents provided the following expenditure format:

- DEPARTMENT OF HUMAN RESOURCES
  - Estimated Receipts
  - General Fund Appropriation

- DIVISION OF MENTAL HEALTH, MENTAL RETARDATION AND SUBSTANCE ABUSE
  - Estimated Receipts
  - General Fund Appropriation

  - Institutional (listed separately: Western Carolina, O'Berry, Murdock, Caswell, and Black Mountain Centers)
    - General Fund
    - Estimated Receipts
      - Federal
      - Inter-agency Transfers
      - Intra-agency Transfers
      - Other
    - [Special Fund-non-add]

  - Community Mental Retardation Services
    - Title XX ("Other" in FY 1977)
    - Federal
    - General Fund

  - Program Services and Administration-Mental Retardation Services
    - Title XX
    - General Fund

Note on Data Sources. Documents entitled "The Budget" were reviewed for the FYs 1977-79; FYs 1979-81; FYs 1981-83 and FYs 1983-85 Biennia. The expenditure figures from the executive budgets were "authorized" sums in FYs 1977, '79, '81 and '83; "actual" in FYs 1978, '80, and '82: and "Recommended" in FY 1984 and FY 1985. Subsequently, FY 1984 (actual), FY 1985 (actual) and FY 1986 (budgeted) expenditure and average daily population figures for institutional services, and expenditures for community services, were provided by James B. Edgerton, Assistant Director for Administration, Division of Mental Health, Mental Retardation, and Substance Abuse Services (p.c., correspondence, 2/27/86).

The fund sources reported for institutional services (and their categorization in our analysis) were: State Appropriations (categorized General Fund); Division of Rehabilitation and Patient Receipts (Other State Funds); ICF/MR state share (Other State Funds); Federal ICF/MR; and Education funds from the Department of Public Institutions (Other Federal Funds).

Federal ICF/MR reimbursement figures for FYs 1984-86 for institutional services were also provided by Daphne Lyon, Department of Medical Assistance (p.c., telephone, 2/20/86; 2/24/86), which were comparable to the figures provided in the Division of MH/MR/SA correspondence. For example, the three-year cumulative total from the Division was $198,910.7 thousand, compared to a cumulative total of $197,344.8 reported by Lyon. Our analysis utilized the annual figures reported by the Division.

Updated community services expenditure figures consisted of General Funds, Other State Funds and Federal Social Services Block Grant revenues. In addition, D. Lyon of the Department of Medical Assistance (p.c., telephone, 2/24/86) provided figures for Private ICFs/MR, and for the Community Alternatives Program (CAP) which was funded under provisions of the Medicaid Home and Community-based Waiver regulations. Lyon reported total expenditures (Federal and state shares), and we utilized the Federal Financial Participation (FFP) rates for North Carolina to determine the Federal and state amounts. State share amounts for the Waiver were included in Other State Funds in our analysis, and General Fund figures reported in the 2/27/86 corespondence from the Division of MH/MR/SA were reduced by those amounts.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the expenditures for the Western Carolina, O'Berry, Murdock, Caswell and Black Mountain Centers (Black Mountain, FYs 1982-86 only). The FY 1983 average daily population figure represented the transfer of Caswell Annex from Cherry Hospital to Caswell Center.

State General Fund consisted of the budget documents' "general fund appropriation" figures, aggregated for the five centers (four centers, FY 1977-81).

Other State Funds was a figure calculated by our project, based on supplementary information from the Department of Medical Assistance and from Division of MH/MR/SA officials. These funds consisted primarily of the Title XIX state match, representing the reconciliation between the Department of Medical Assistance and the Division of MH/MR/SA in each year's Federal ICF/MR receipts. Also included were proceeds from the sale of products at facilities, insurance benefits, and "family and fiduciaries" payments.

Federal ICF/MR. Budget documents reported Federal ICF/MR figures for each Center, which were aggregated to produce institutional services totals. However, the Department of Medical Assistance (p.c., telephone, D. Lyon, 10/7/83), provided "Institutional Federal Share ICF/MR" figures (FYs 1978-83) which were significantly less than the Division of MH/MR budget document figures. It was concluded, after a telephone interview (10/7/83) with Jim Edgerton, Division of MH/MR, that the MH/MR Division's executive budgets reported both Federal and state shares. Therefore, our computations involved: a) subtracting the Department of Medical Assistance figures from the Division of MH/MR ICF/MR figures; b) adding the balance (the state ICF/MR match) to the Other State Funds figures which had been aggregated from the budgets of the five centers; c) entering the Department of Medical Assistance figures as Federal ICF/MR funds in our analysis. See discussion in notes on data sources above for the methods utilized to determine FYs 1984-86 Federal ICF/MR amounts.

Other Federal Funds consisted of the aggregate of Federal funds other than Federal ICF/MR for the Centers reported in the budget documents. These funds were primarily ESEA Titles, resident Federal entitlement funds (Social Security, Veterans Administration--CHAMPUS), and School Lunch Program funds.

III. COMMUNITY SERVICES FUNDS

Community services consisted of figures from the budget documents entitled "Community-based Services Element--Mental Retardation Services" and "Program Services-MRS."

Other State Funds consisted of "Other" as reported in the budget books for FY 1978-79, for the "Community-Based Services" and "Program Services" elements.

Private ICF/MR consisted of the figures reported 10/7/83 (p.c., D. Lyon); updated figues were also provided by Lyon (p.c., telephone, 2/26/86). As of September 30, 1985, private ICFs/MR consisted of 80 beds in the 1-6 bed/facility range (20 facilities); 44 beds in the 7-15 range (5 facilities); one facility of 35 beds, and 543 beds in the 76-150 range (four facilities). Utilizing per diem estimates provided for FYs 1983-85 (p.c., correspondence, D. Lyon, 4/10/86), we calculated, for FY 1986, the expenditures for ICFs/MR Small (15 beds or less) and ICFs/MR Large.

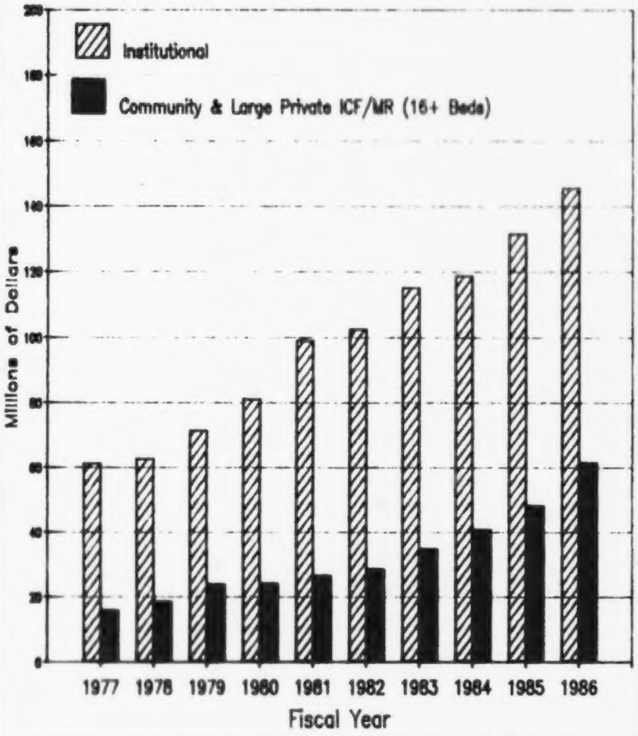
Waiver. Federal revenues for the Community Care Waiver were reported for FYs 1984-86 (p.c., telephone, D. Lyon, 2/24/86). A total of 126 individuals were served under the Waiver in FY 1986.

Federal Title XX/SSBG consisted of the lines in Community-based Services Elements- MR Services, and Program Services-MRS designated "Departmental Receipts" (FY 1977) and "Title XX" (FYs 1978-84). Subsequently, correspondence from the Division (2/27/86) provided an updated FY 1984 figure, and figures for FY 1985-86.

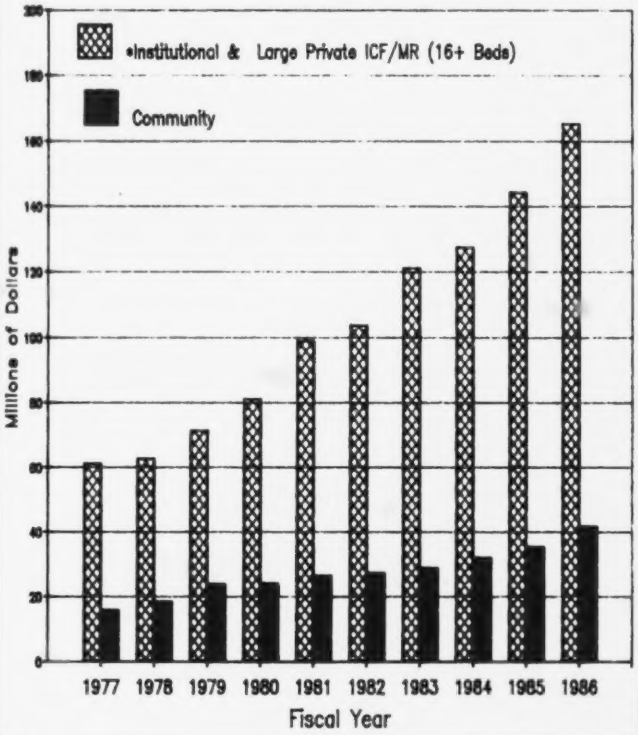
Other Federal Funds for FY 1977 consisted of the budget document figures under "Community-based Services Elements-MRS" entitled "Federal."

NORTH CAROLINA

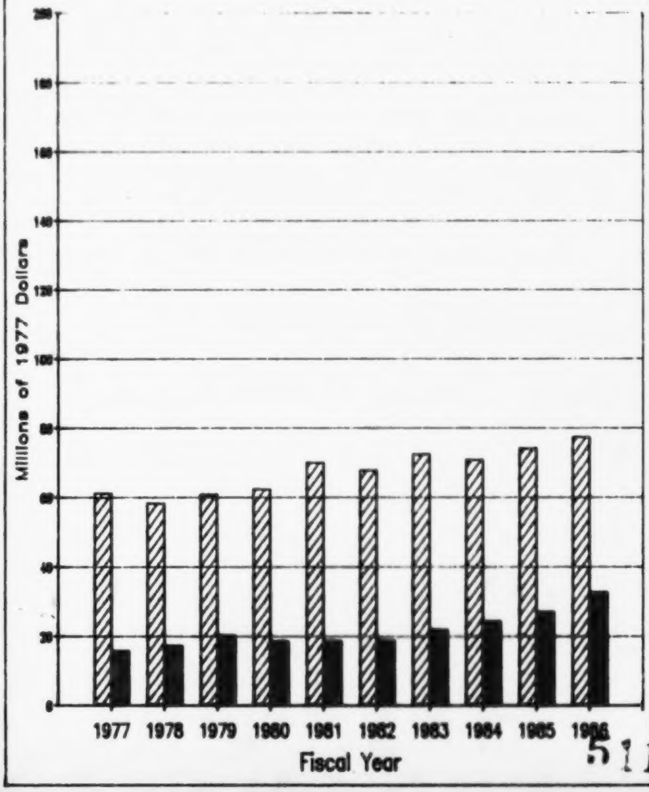
MR/DD Expenditures for *Institutional* & *Community* Services



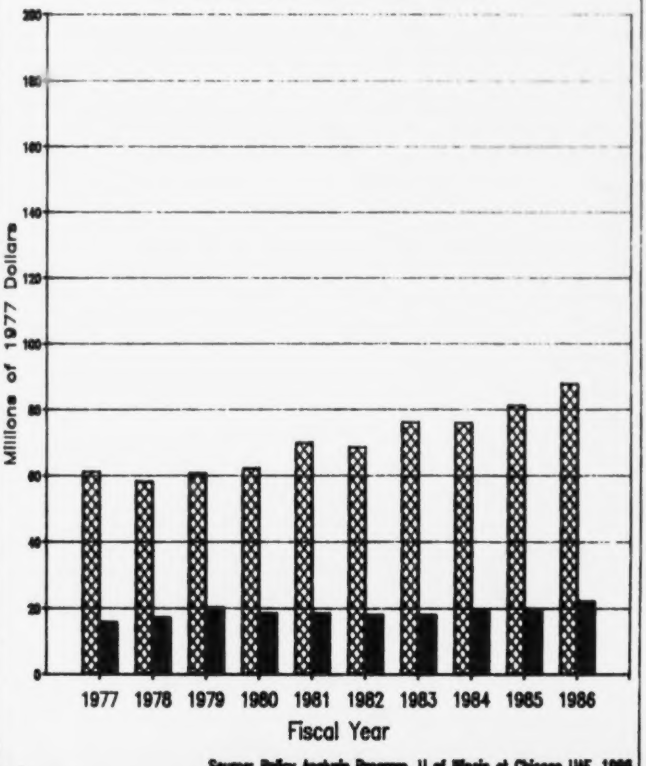
MR/DD Expenditures for Large Congregate* & Community Services



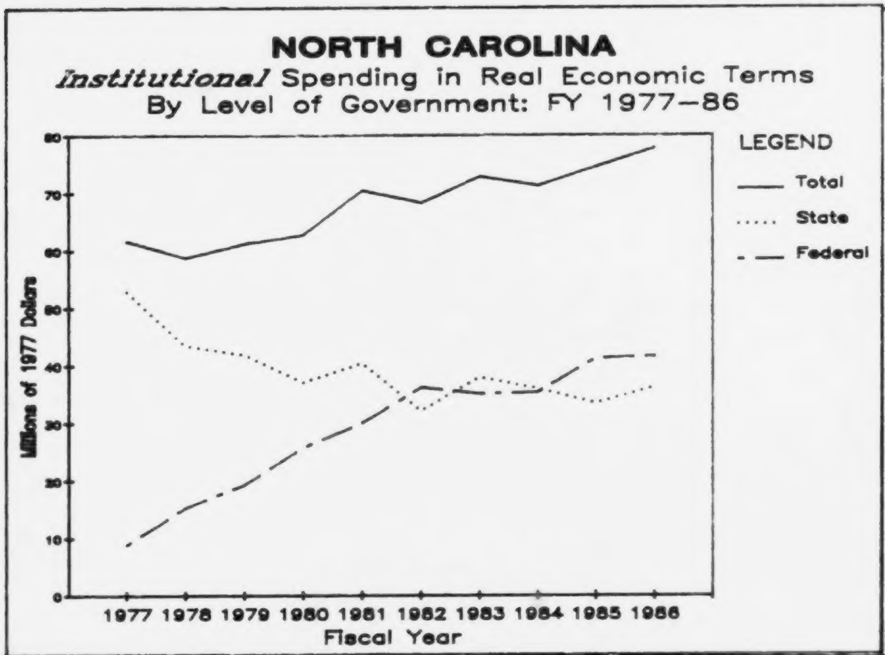
Adjusted for Inflation



Adjusted for Inflation

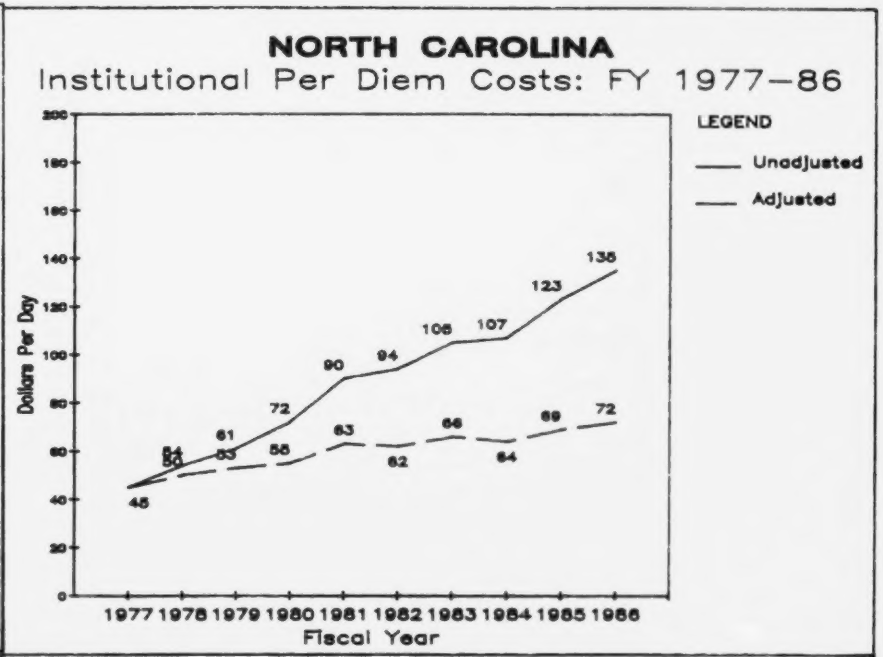


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988



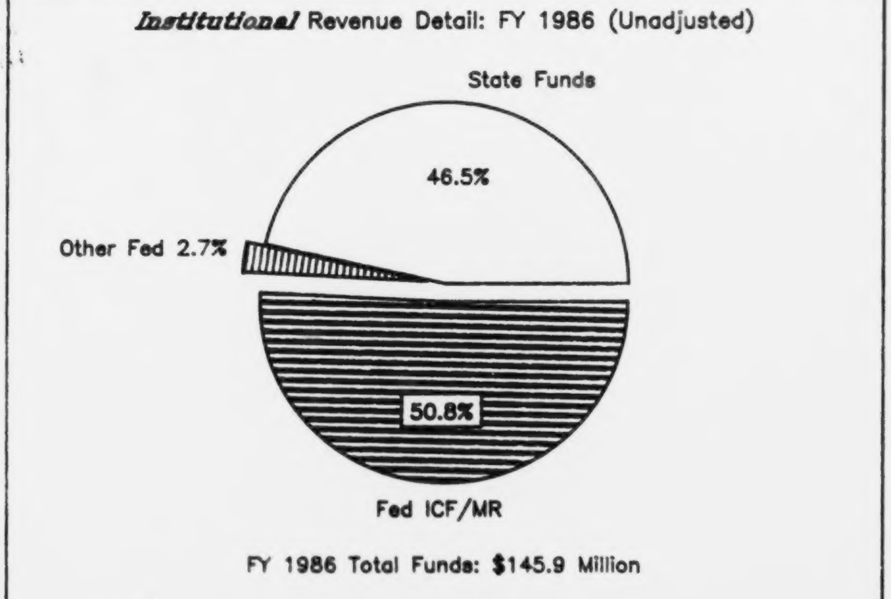
NORTH CAROLINA

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86



NORTH CAROLINA

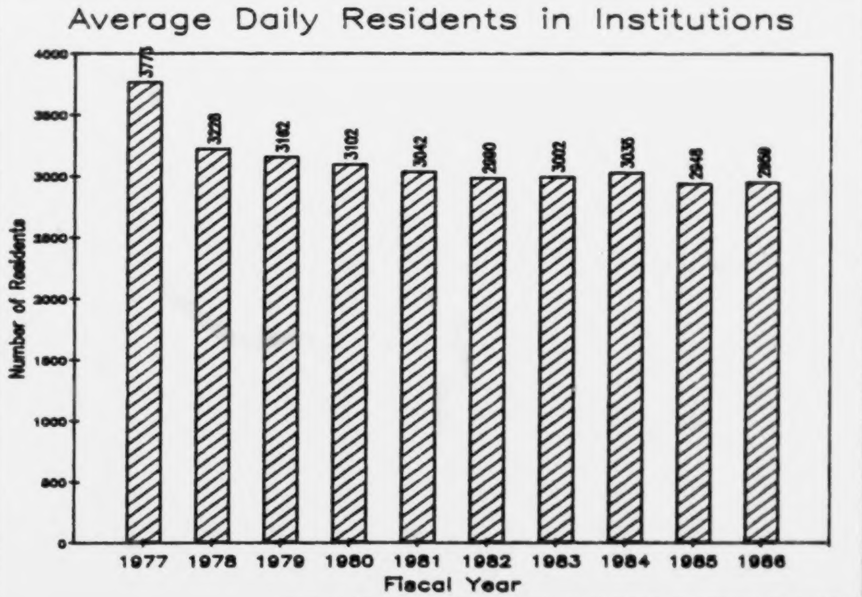
Institutional Per Diem Costs: FY 1977–86



Institutional Revenue Detail: FY 1986 (Unadjusted)

FY 1986 Total Funds: $145.9 Million

512



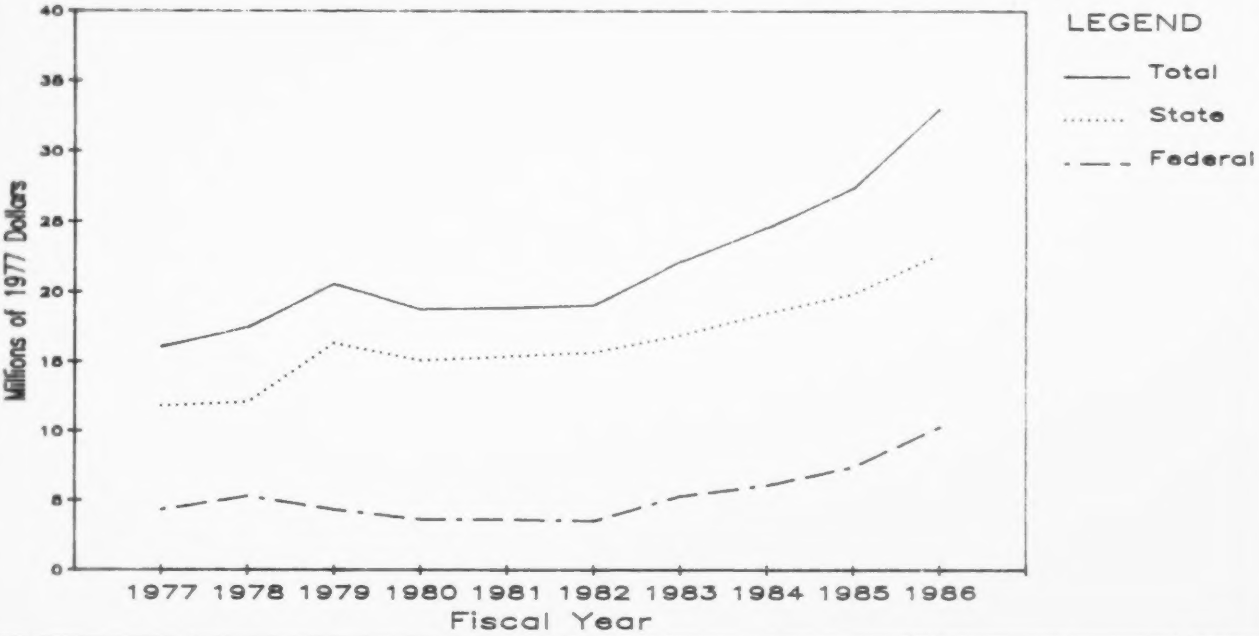
Average Daily Residents in Institutions

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

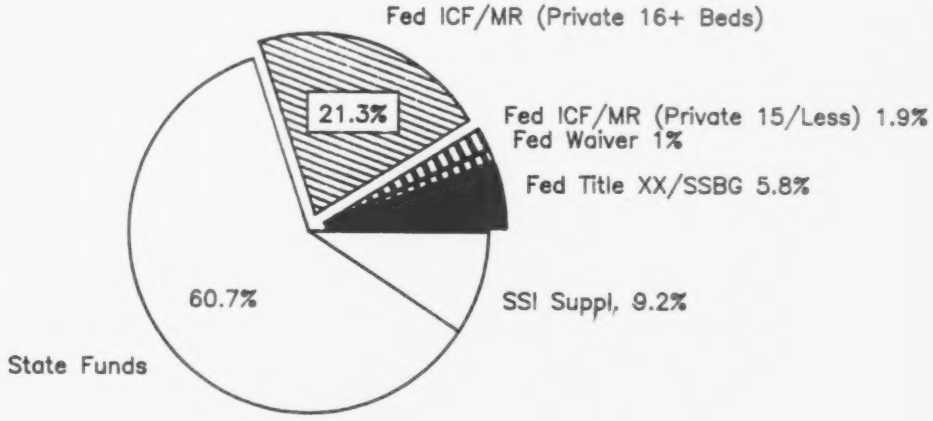
513

NORTH CAROLINA

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

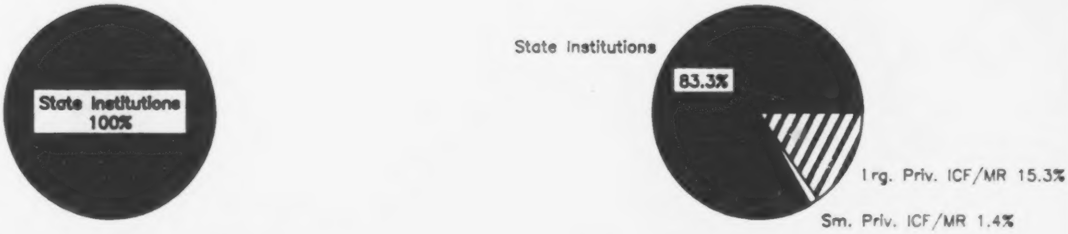


FY 1986 Total Funds: $64.1 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NORTH CAROLINA

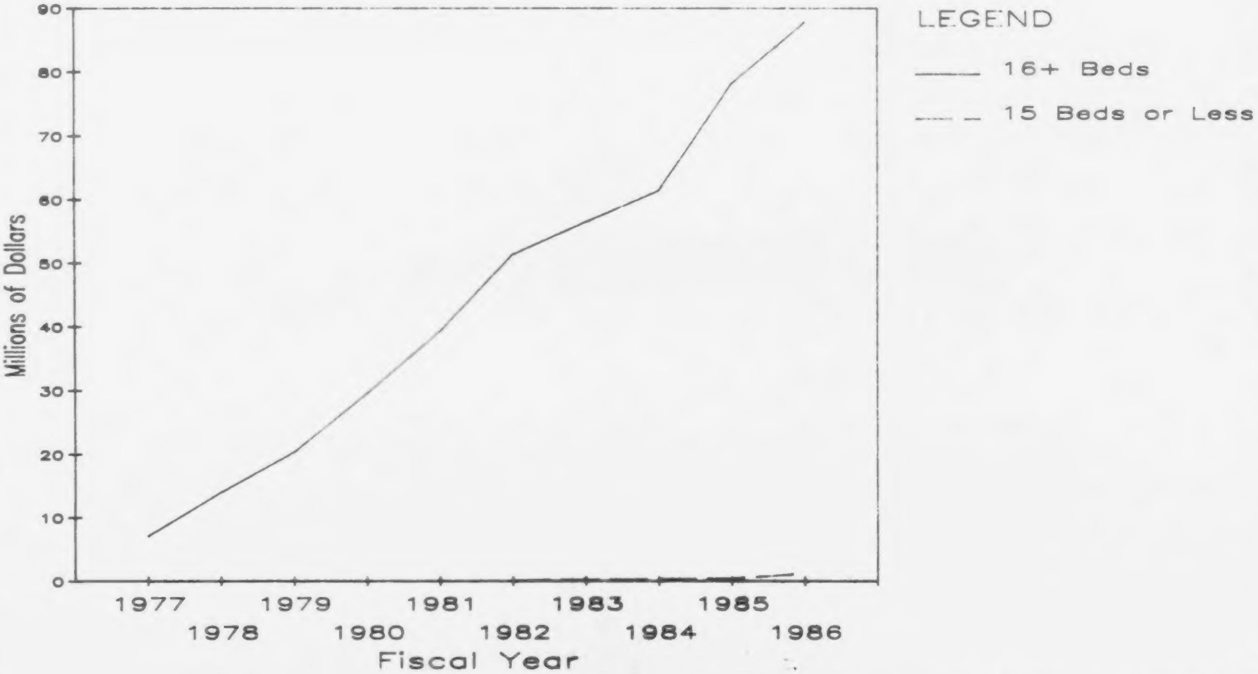
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $7.1 Million

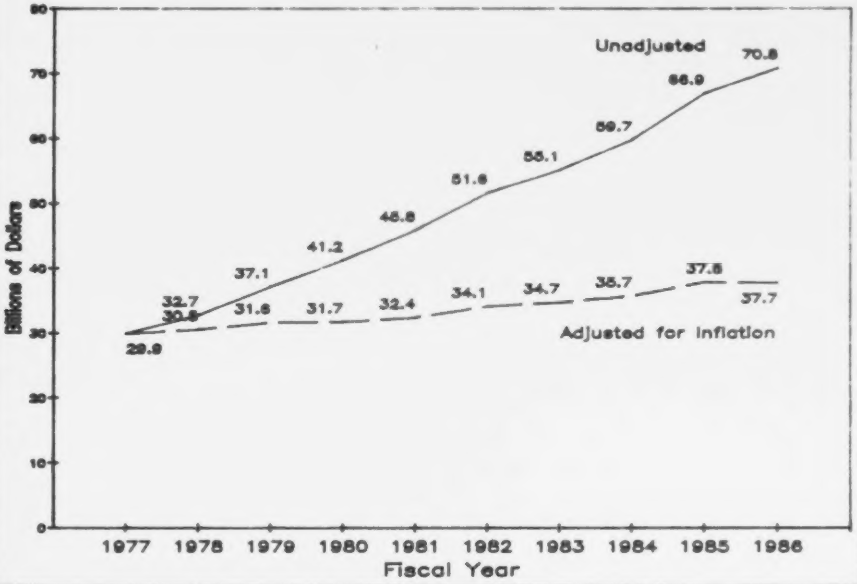
FY 1986 Total Federal Funds: $89.1 Million

By Facility Size, FY 1977–86

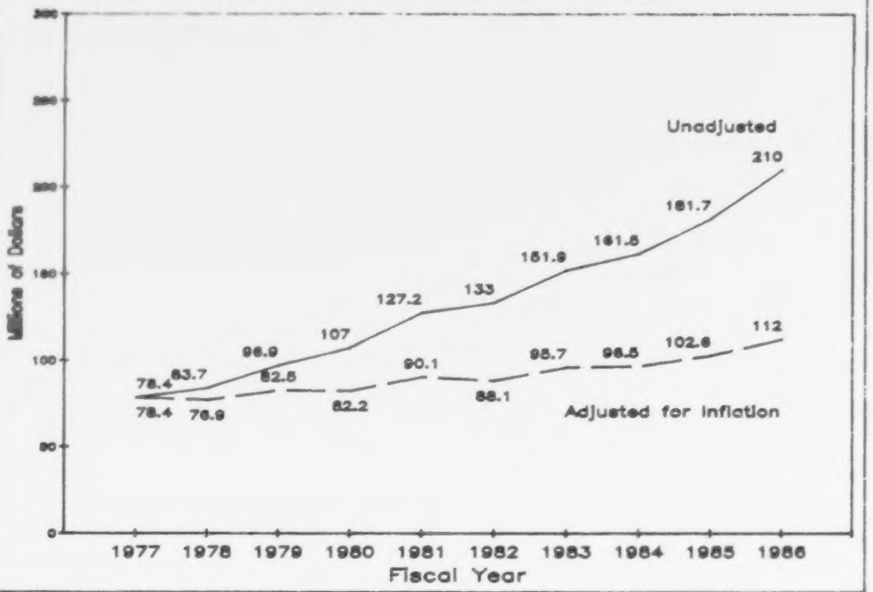


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

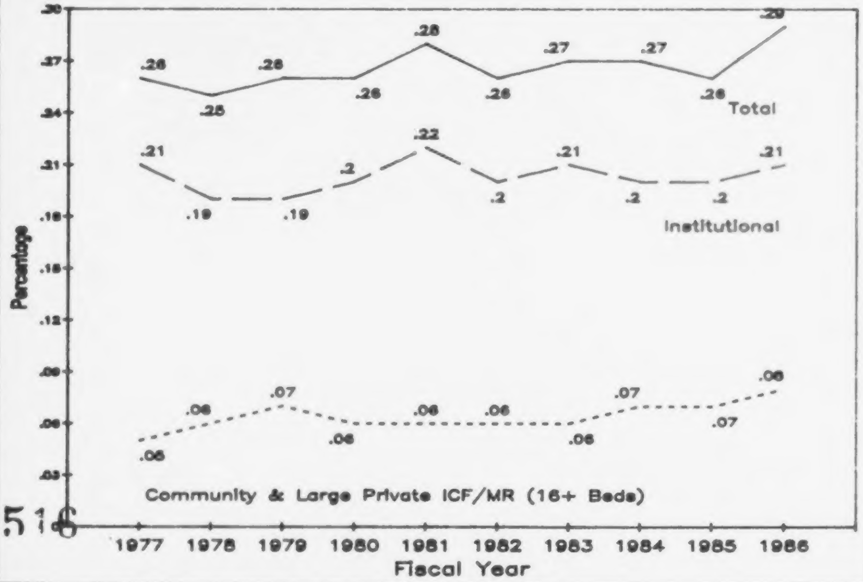
Personal Income in **NORTH CAROLINA**



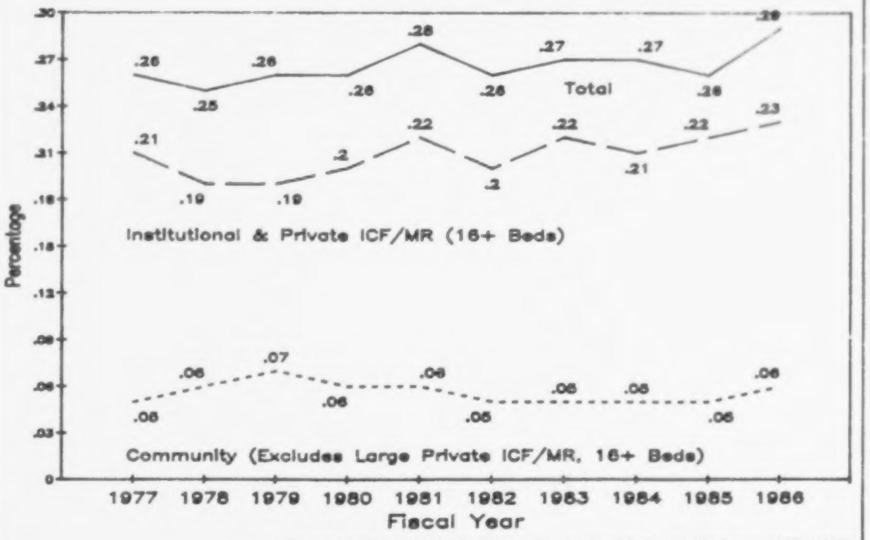
Total MR/DD Spending in **NORTH CAROLINA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NORTH CAROLINA 4/16/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	128,262,000	136,735,000	155,771,120	173,443,000	207,018,000	221,540,000	247,122,000	265,028,300	295,345,500	327,924,600
TOTAL INSTITUTIONAL/COMMUNITY	78,408,000	82,697,000	96,877,120	106,997,000	127,227,000	133,037,000	151,890,000	161,513,300	181,708,500	210,047,600
STATE FUNDS	65,358,000	60,486,000	69,102,120	68,805,000	79,802,000	73,311,000	87,990,000	92,279,900	95,639,900	112,780,800
General Funds	49,815,000	49,363,000	62,078,000	53,250,000	68,621,000	52,073,000	59,960,000	55,822,000	61,083,500	77,932,500
SSI State Supplement	2,838,000	3,085,000	3,203,000	3,475,000	3,665,000	4,129,000	4,192,000	4,461,000	4,719,000	5,922,000
Other State Funds	12,705,000	8,038,000	3,821,120	12,080,000	7,516,000	17,109,000	23,838,000	31,996,900	29,837,400	28,926,300
FEDERAL FUNDS	13,050,000	22,211,000	27,775,000	38,192,000	47,425,000	59,726,000	63,900,000	69,233,400	86,068,600	97,266,800
Title XIX Funds	7,118,000	13,997,000	20,390,000	29,587,000	39,322,000	51,432,000	56,620,000	61,740,700	78,854,900	89,722,900
Title XX / SSBG Funds	3,127,000	5,760,000	5,099,000	4,733,000	5,045,000	4,422,000	4,189,000	3,787,500	3,683,000	3,687,000
Other Federal Funds	2,805,000	2,454,000	2,286,000	3,872,000	3,058,000	3,872,000	3,091,000	3,705,200	3,530,700	3,856,900
INSTITUTIONAL SERVICES FUNDS	61,595,000	63,088,000	71,791,000	81,641,000	99,498,000	103,016,000	115,594,000	119,169,300	131,956,900	145,948,600
STATE FUNDS	52,832,000	46,637,000	49,115,000	48,182,000	57,118,000	48,542,000	60,105,000	60,062,400	59,075,700	67,933,200
General Funds	40,127,000	38,756,000	45,300,000	36,102,000	49,602,000	31,433,000	36,267,000	28,196,000	31,166,500	39,304,700
Other State Funds	12,705,000	7,881,000	3,815,000	12,080,000	7,516,000	17,109,000	23,838,000	31,866,400	27,909,200	28,628,500
FEDERAL FUNDS	8,763,000	16,451,000	22,676,000	33,459,000	42,380,000	54,474,000	55,489,000	59,106,900	72,881,200	78,015,400
Federal ICF/MR	7,118,000	13,997,000	20,390,000	29,587,000	39,322,000	50,602,000	52,398,000	55,401,700	69,350,500	74,158,500
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	1,645,000	2,454,000	2,286,000	3,872,000	3,058,000	3,872,000	3,091,000	3,705,200	3,530,700	3,856,900
COMMUNITY WITH FEDERAL INCOME MAINT	66,667,000	73,647,000	83,980,120	91,802,000	107,520,000	118,524,000	131,528,000	145,859,000	163,388,600	181,976,000
COMMUNITY SERVICES FUNDS	16,813,000	19,609,000	25,086,120	25,356,000	27,729,000	30,021,000	36,296,000	42,344,000	49,751,600	64,099,000
STATE FUNDS	12,526,000	13,849,000	19,987,120	20,623,000	22,684,000	24,769,000	27,885,000	32,217,500	36,564,200	44,847,600
General Funds	9,688,000	10,607,000	16,778,000	17,148,000	19,019,000	20,640,000	23,693,000	27,626,000	29,917,000	38,627,800
SSI State Supplement	2,838,000	3,085,000	3,203,000	3,475,000	3,665,000	4,129,000	4,192,000	4,461,000	4,719,000	5,922,000
Other State Funds	0	157,000	6,120	0	0	0	0	130,500	1,928,200	297,800
FEDERAL FUNDS	4,287,000	5,760,000	5,099,000	4,733,000	5,045,000	5,252,000	8,411,000	10,126,500	13,187,400	19,251,400
ICF/MR Funds	0	0	0	0	0	830,000	4,222,000	6,271,600	9,203,300	14,893,100
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	33,000	169,000	251,000	368,000	1,230,000
Large Private	0	0	0	0	0	797,000	4,053,000	6,020,600	8,835,300	13,663,100
Other Title XIX Funds	0	0	0	0	0	0	0	67,400	301,100	671,300
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	67,400	301,100	671,300
Title XX / SSBG Funds	3,127,000	5,760,000	5,099,000	4,733,000	5,045,000	4,422,000	4,189,000	3,787,500	3,683,000	3,687,000
Other Federal Funds	1,160,000	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	49,854,000	54,038,000	58,894,000	66,446,000	79,791,000	88,503,000	95,232,000	103,515,000	113,637,000	117,877,000
Suppl. Security Income (SSI)	39,317,000	42,329,000	45,241,000	50,232,000	59,429,000	65,843,000	70,765,000	78,227,000	84,089,000	88,343,000
Childhood Disability (SSDI)	10,537,000	11,709,000	13,653,000	16,214,000	20,362,000	22,660,000	24,467,000	25,288,000	29,548,000	29,534,000
F.F.P. Rate	68.03%	67.87%	67.81%	67.68%	67.64%	67.77%	67.81%	69.10%	69.54%	69.27%
Daily Institutional Population	3,773	3,228	3,162	3,102	3,042	2,990	3,002	3,035	2,948	2,959
Institutional Per Diem	44.73	53.55	62.20	71.91	89.61	94.39	105.49	107.28	122.63	135.13

NORTH DAKOTA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Institutional services for citizens with mental retardation and developmental disabilities in North Dakota are provided at two facilities, Grafton and San Haven State Hospitals which are administered by the Director of Institutions. Community services are administered by the Division of Developmental Disabilities, within the Department of Human Services. From FY 1977 to FY 1981, Community Mental Retardation Services were within the State Department of Health. "Community-based Care" funds and the Developmental Disabilities Services at the State's eight Human Service Centers came under the administrative direction of the Department of Human Services as of January 1, 1982.

Budget Format. Our interpretation of the general format for North Dakota's MR/DD institutional and community services, from budget components as indicated in North Dakota Executive Budget documents, was as follows:

- Grafton/San Haven
    - Federal
    - General
    - Other
- Director of Institutions (General Fund)
- Deinstitutionalization Court Monitoring (General Fund--FY 1984)
- Conference Committee, Grafton/San Haven
    - Federal
    - General
- Community-based Care (FYs 1982-86 only)
    - Federal
    - General
    - Other
- Human Service Centers ("DD" lines)
    - Federal
    - General
    - Other
- State Department of Health (MH/Retardation)--General Fund

Note on Data Sourcess North Dakota Executive Budget Summary documents were reviewed for the FYs 1979-81, FYs 1981-83, and the FYs 1983-85 Biennia. These documents provided "expenditure past biennium" figures for FYs 1977-79; "first year expenditure" figures for FY 1980; a "balance present budget" set of figures for FY 1981; and "Executive Recommendation" figures for FYs 1982 and '83, and for the FYs 1984-85 Biennium. Correspondence (8/1/83) from Darvin Hirsch, Ed.D., Director of Developmental Disabilities, provided "Estimated 1981-83 Budget" figures for Grafton/San Haven, and for "Grafton--Deinstitutionalization."

In addition, this correspondence (and subsequent 10/15/83 correspondence) contained figures for the Human Service Centers (Regional Offices) for FYs 1982-83 and Community-based Care expenditure figures, also for FYs 1982-83. Finally, FY 1984 figures were obtained from the Appropriations Bill (SB 2009). Average daily population figures for the two facilities were provided by Claire Mahovsky (Grafton) and Diane Waliezer (San Haven) (p.c., telephone, 5/21/84.)

Subsequently, FY 1984 and FY 1985 (actual) and FY 1986 (revised appropriation) expenditure figures were provided by Dave Clark, Budget Office, Department of Human Services (p.c., telephone, 2/5/86). For the FYs 1986-87 biennium, Clark estimated 48% of expenditures in the first year. Average daily population figures were provided by Henry Ray, Business Office, Grafton State School (p.c., telephone, 2/28/86).

Dave Clark (p.c., telephone, 2/5/86) also provided FY 1985 (actual) and FYs 1986-87 (revised appropriation) expenditure figures for community services, which included Federal ICF/MR reimbursements in undetermined amounts. In correspondence (2/13/86) Darvin Hirsch, Director, Developmental Disabilities Division, provided a computer print-out entitled "Services for DD Persons, 1986-87 Biennium," which indicated a monthly itemization of clients, spending, Title XIX funds, other Federal funds and units of service for each of the community program components (e.g. adult day care, developmental day activity, ICF/MR, etc.).

The 12 months of total spending for FY 1986 for each program and Federal funds were also summed. Then, those programs which received ICF/MR reimbursements (ICF/MR Child, ICF/MR, ICF Physically Handicapped and Specialized Placement) were sub-totalled. After subtracting these ICF/MR Federal revenues from total Federal funds, the remainder consisted of Vocational Rehabilitation and Education (the latter two together estimated by Clark at $690.6 thousand per year) and Federal Title XIX Waiver revenues ($2,063.1 thousand in FY 1986). The Vocactional Rehabilitation and Education funds were entered as Other Federal Funds in our analysis.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of expenditures for Grafton and San Haven State Schools. The FY 1982 FY 1983 figures were obtained from correspondence (D. Hirsch, 8/1/83 and 10/15/83) A capital figure of $13,800,000 was subtracted from the Grafton/San Haven totals for the Biennuim, and the figure was divided by two to estimate FY 1982 and FY 1983 amounts. See notes on above on data sources for methods of determination of FYs 1984-86 figures.

Other State Funds figures were computed in the following manner: they were the balance after state general funds, Federal ICF/MR, and Other Federal Funds had been deducted from total expenditures.

Other Federal Funds included Deaf-Blind Project, ESEA Title I, and Library Grant funds.

III. COMMUNITY SERVICES FUNDS

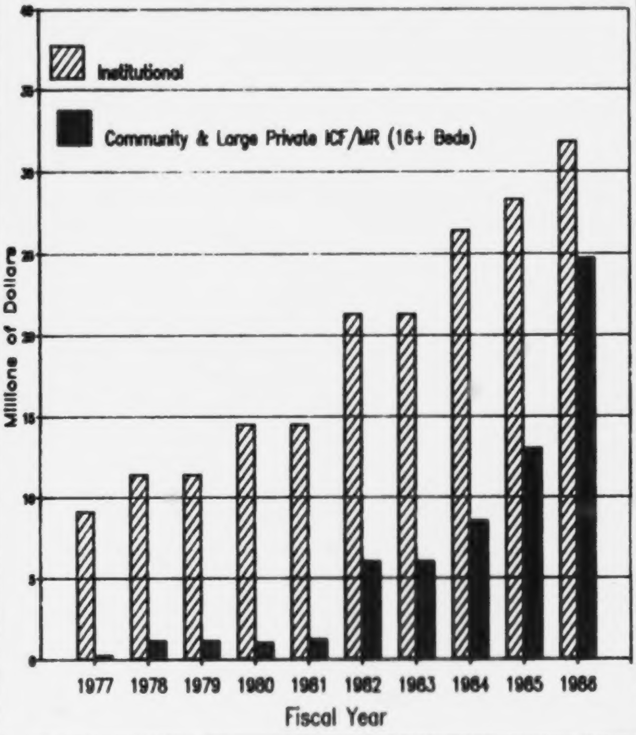
Community services consisted of one-half of the State Department of Health MH/Retardation Fund, FYs 1977-81, which was a Division of DD estimate of the MR share of funds (p.c., telephone, D. Hirsch, 10/3/83) and the Developmental Disabilities lines reported in the eight Human Service Centers, FYs 1977-81. All of these figures were from the published budgets. Fiscal Years 1982-86 expenditures for community services consisted of Regional Offices and Community-based Care figures. The FYs 1977-81 MH/Retardation line in the State Department of Health's section of the budget documents terminated, as MR/DD services were shifted to the Department of Human Services.

Private ICF/MR. Estimates for FYs 1982-83 were provided by D. Zintner (p.c., telephone, 11/22/83): Fifteen beds at $48.30/day; nine beds at $60.13/day; and eight beds at $62.24/day. From updated information (p.c., telephone, D. Clark, 2/5/86; correspondence, D. Hirsch, 2/13/86), we determined FYs 1984-86 expenditures. In FY 1986 the private ICF/MR facilities were primarily 8-bed facilities, although two or three were 10-bed programs.

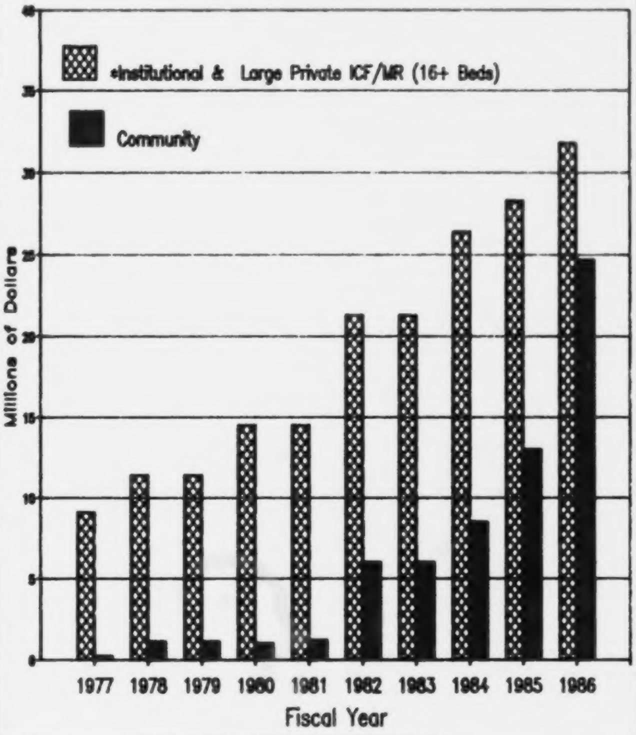
Waiver. Revenues from the Home and Community Based Care Waiver commenced in FY 1983.

NORTH DAKOTA

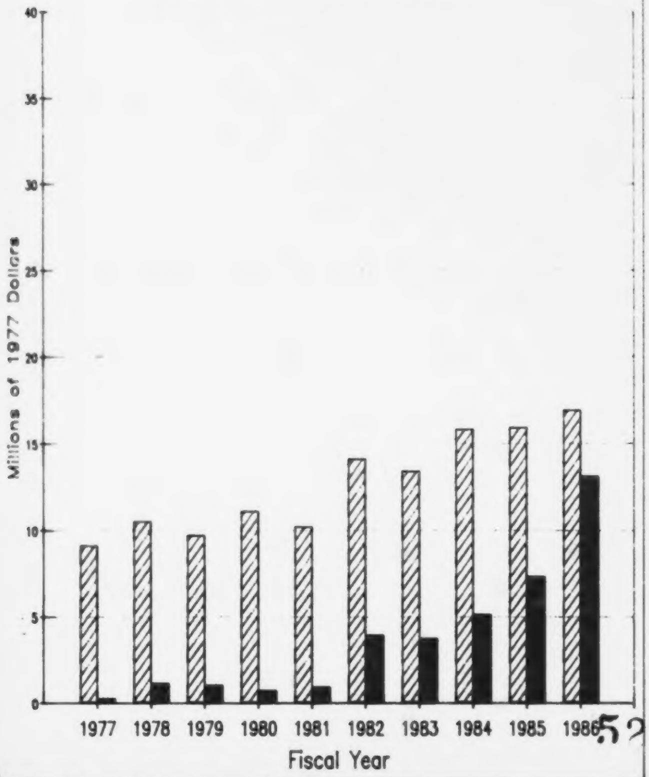
MR/DD Expenditures for *Institutional* & *Community* Services



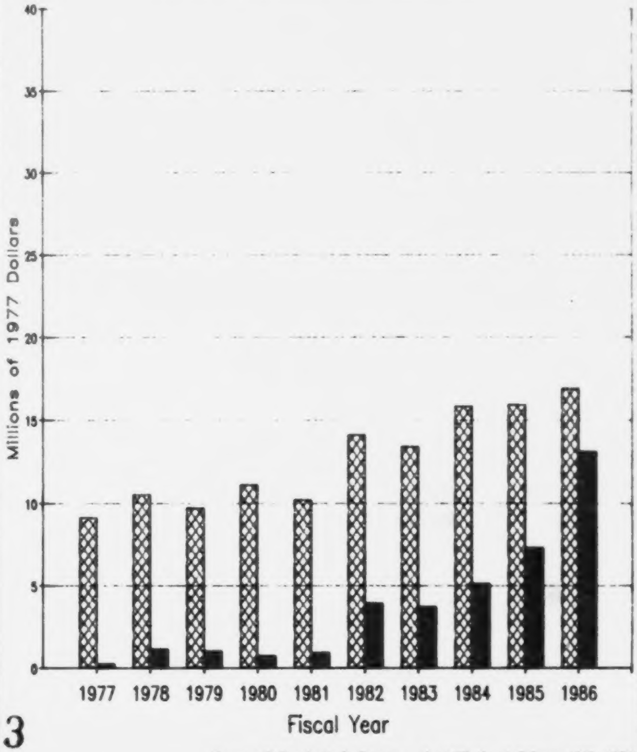
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



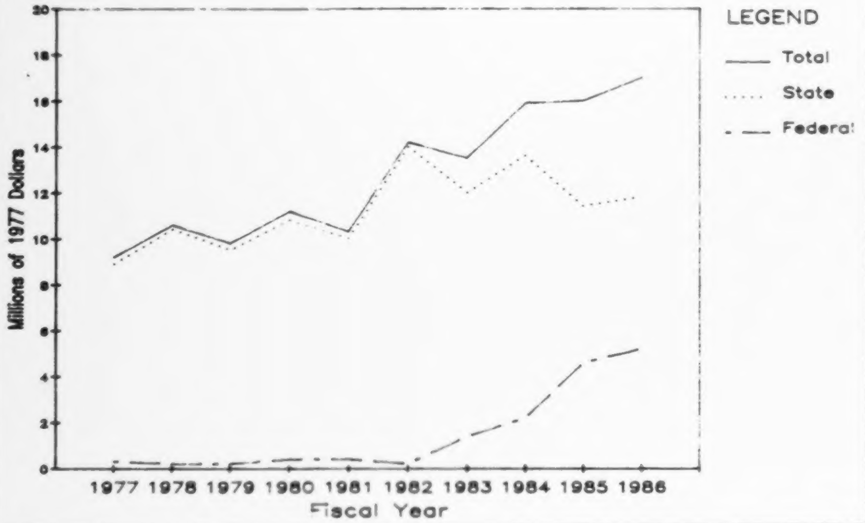
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

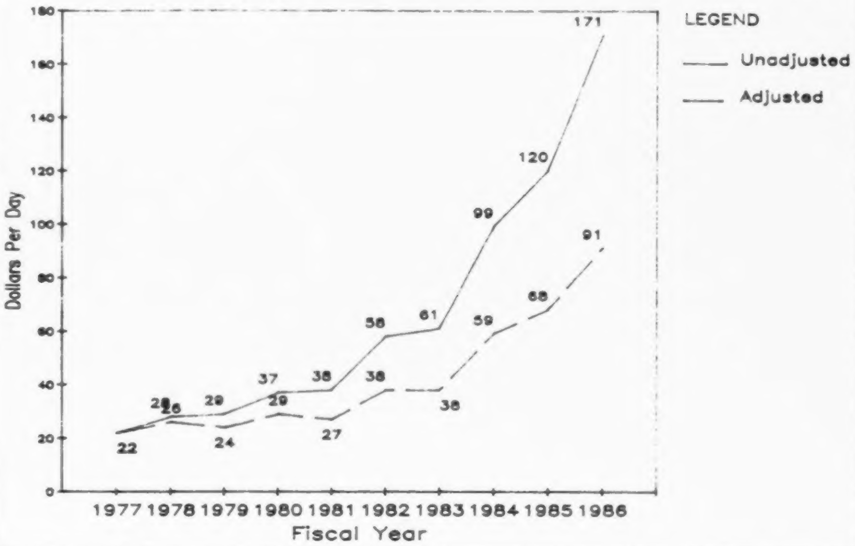
NORTH DAKOTA

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

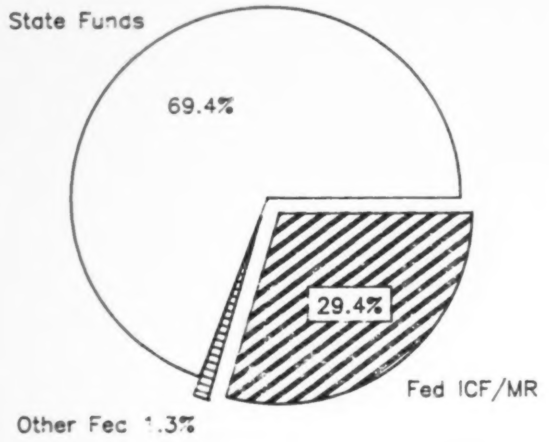


NORTH DAKOTA

Institutional Per Diem Costs: FY 1977–86

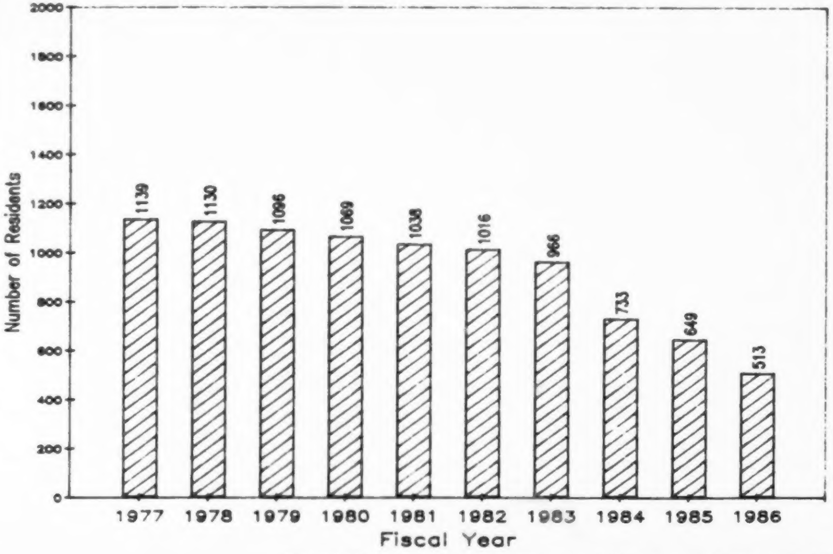


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $31.9 Million

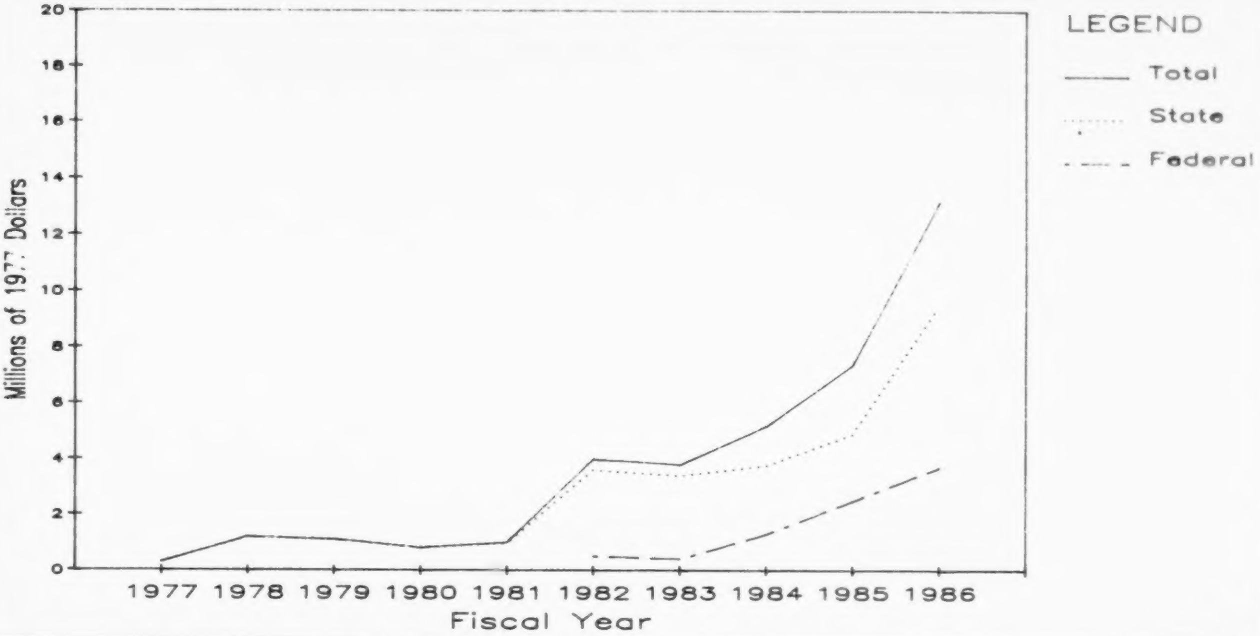
Average Daily Residents in Institutions



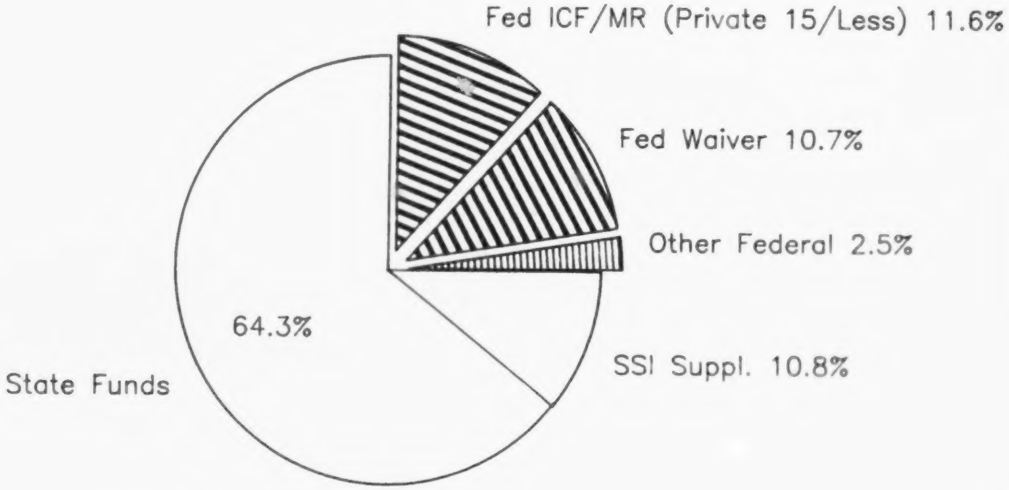
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NORTH DAKOTA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

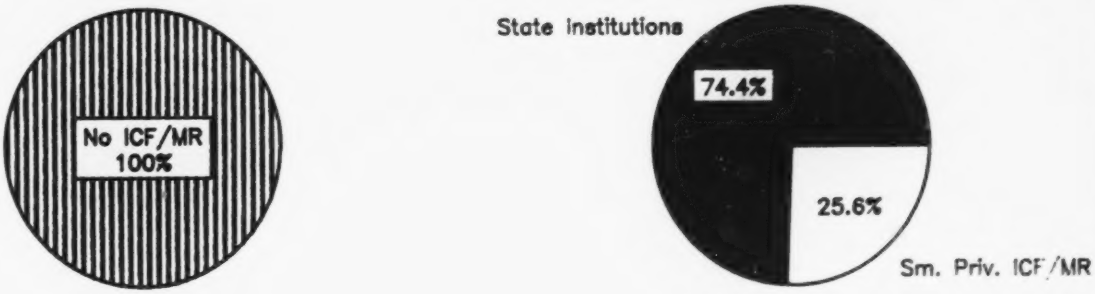


FY 1986 Total Funds: $24.8 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NORTH DAKOTA

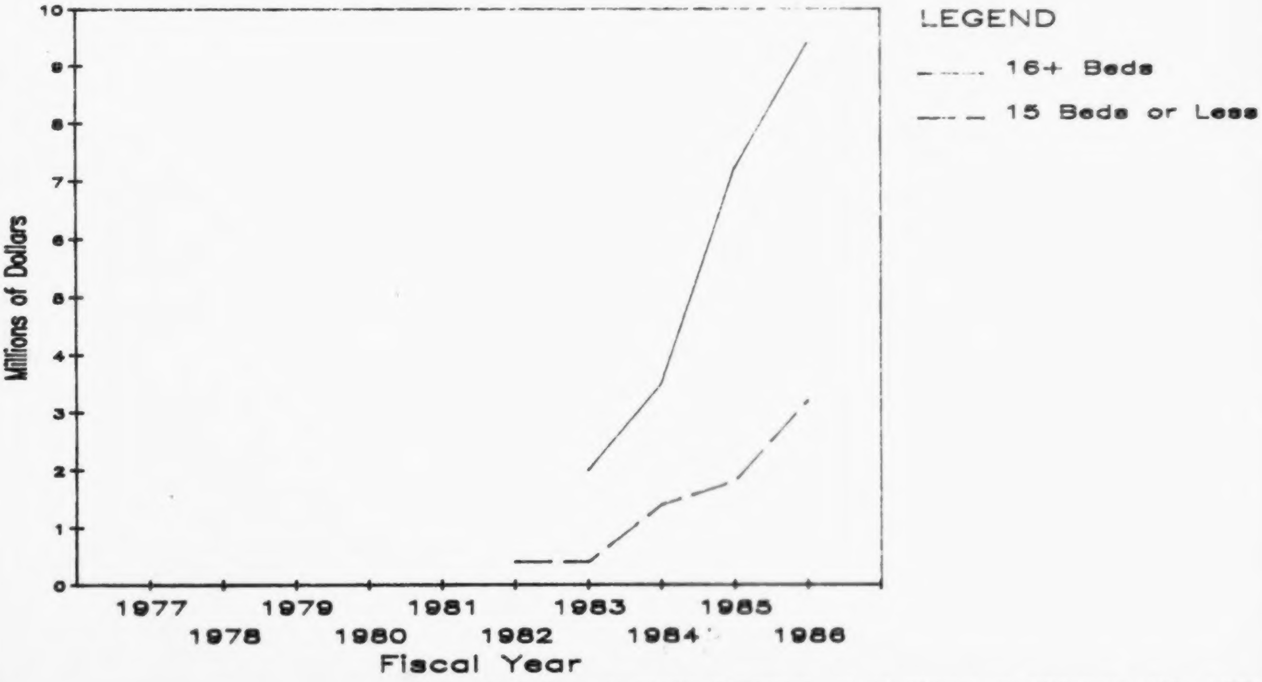
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



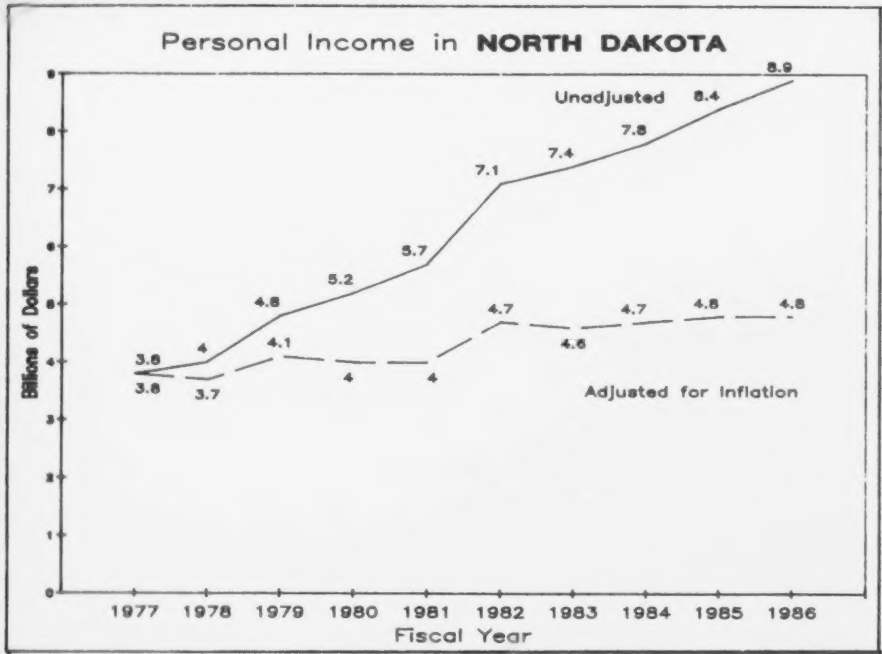
FY 1977 Total Federal Funds: $0 Million

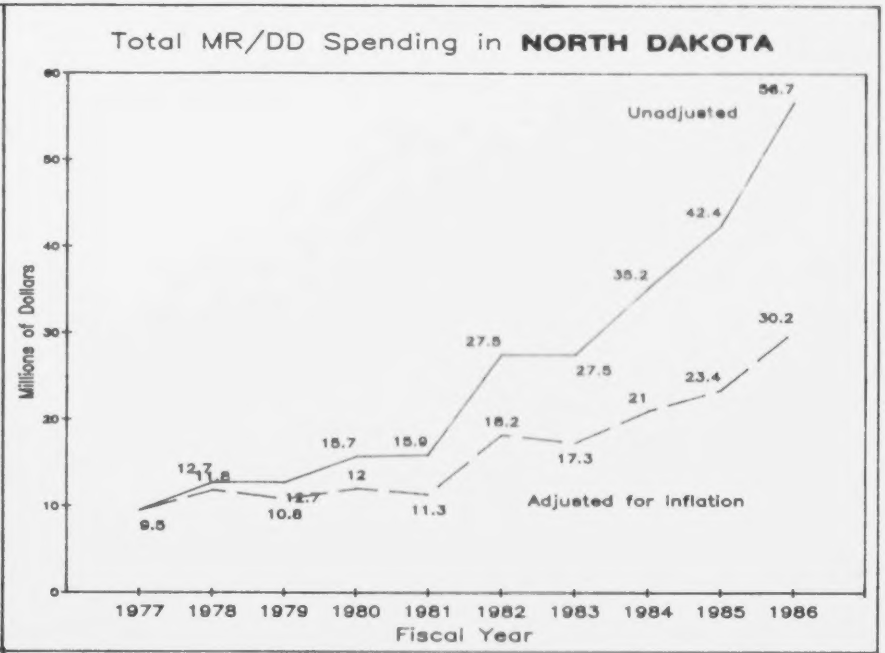
FY 1986 Total Federal Funds: $12.6 Million

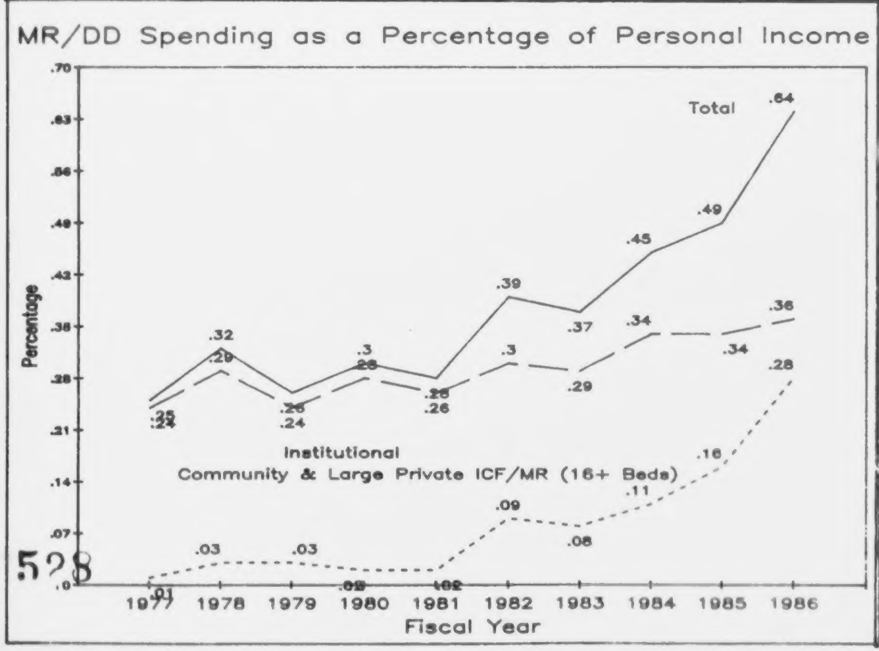
By Facility Size, FY 1977—86

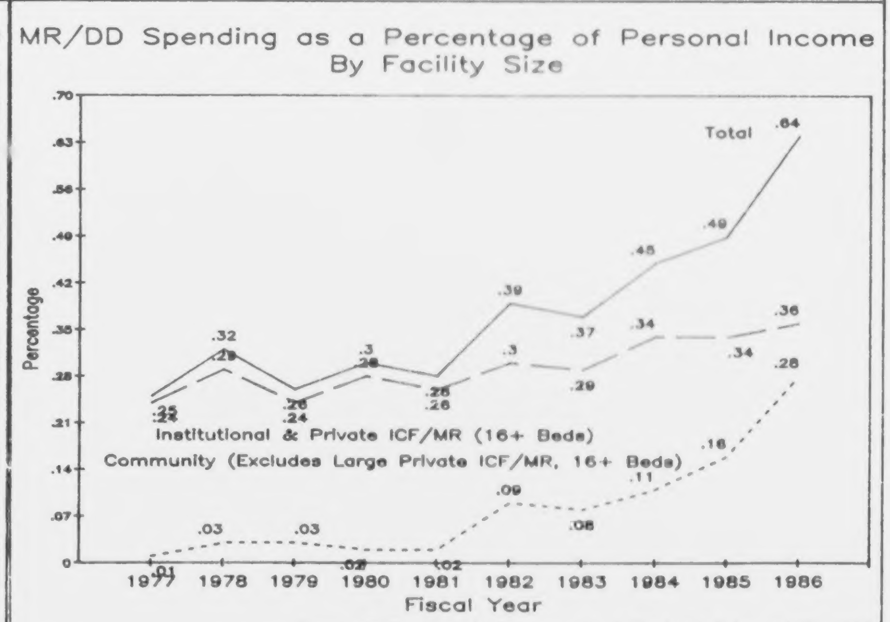


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986









Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

NORTH DAKOTA 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	12,751,000	16,119,000	16,443,000	19,832,000	21,059,000	33,135,800	33,624,800	41,874,200	47,966,800	64,857,300
TOTAL INSTITUTIONAL/COMMUNITY	9,540,000	12,699,000	12,699,000	15,650,000	15,925,000	27,456,800	27,456,800	35,152,200	41,440,800	56,714,300
STATE FUNDS	9,239,000	12,444,000	12,444,000	15,142,000	15,417,000	26,486,300	24,486,300	29,188,000	28,930,000	40,027,700
General Funds	8,525,000	11,300,000	11,300,000	14,052,000	14,327,000	24,576,300	22,576,300	20,936,900	28,440,000	39,585,200
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	714,000	1,144,000	1,144,000	1,090,000	1,090,000	1,910,000	1,910,000	8,251,100	490,000	442,500
FEDERAL FUNDS	301,000	255,000	255,000	508,000	508,000	970,500	2,970,500	5,964,200	12,510,800	16,686,600
Title XIX Funds	0	0	0	0	0	400,500	2,400,500	5,156,200	10,738,200	15,596,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	301,000	255,000	255,000	508,000	508,000	570,000	570,000	808,000	1,772,600	1,090,600
INSTITUTIONAL SERVICES FUNDS	9,219,000	11,454,000	11,454,000	14,581,000	14,581,000	21,382,000	21,382,000	26,531,100	28,350,200	31,930,400
STATE FUNDS	8,918,000	11,199,000	11,199,000	14,073,000	14,073,000	21,123,000	19,123,000	22,780,100	20,268,300	22,154,600
General Funds	8,204,000	10,055,000	10,055,000	12,983,000	12,983,000	19,511,000	17,511,000	14,529,000	19,778,300	21,754,600
Other State Funds	714,000	1,144,000	1,144,000	1,090,000	1,090,000	1,612,000	1,612,000	8,251,100	490,000	400,000
FEDERAL FUNDS	301,000	255,000	255,000	508,000	508,000	259,000	2,259,000	3,751,000	8,081,900	9,775,800
Federal ICF/MR	0	0	0	0	0	0	2,000,000	3,500,000	7,171,900	9,375,800
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	301,000	255,000	255,000	508,000	508,000	259,000	259,000	251,000	910,000	400,000
COMMUNITY WITH FEDERAL INCOME MAINT	3,532,000	4,665,000	4,989,000	5,251,000	6,478,000	11,753,800	12,242,800	15,343,100	19,616,600	32,926,900
COMMUNITY SERVICES FUNDS	321,000	1,245,000	1,245,000	1,069,000	1,344,000	6,074,800	6,074,800	8,621,100	13,090,600	24,783,900
STATE FUNDS	321,000	1,245,000	1,245,000	1,069,000	1,344,000	5,363,300	5,363,300	6,407,900	8,661,700	17,873,100
General Funds	321,000	1,245,000	1,245,000	1,069,000	1,344,000	5,065,300	5,065,300	6,407,900	8,661,700	17,830,600
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	0	0	0	0	0	298,000	298,000	0	0	42,500
FEDERAL FUNDS	0	0	0	0	0	711,500	711,500	2,213,200	4,428,900	6,910,800
ICF/MR Funds	0	0	0	0	0	400,500	400,500	1,385,600	1,809,100	3,233,900
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	400,500	400,500	1,385,600	1,809,100	3,233,900
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	0	270,600	1,757,200	2,986,300
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	270,600	1,757,200	2,986,300
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	311,000	311,000	557,000	862,600	690,600
FEDERAL INCOME MAINTENANCE	3,211,000	3,420,000	3,744,000	4,182,000	5,134,000	5,679,000	6,168,000	6,722,000	6,526,000	8,143,000
Suppl. Security Income (SSI)	1,712,000	1,754,000	1,802,000	1,875,000	2,237,000	2,455,000	2,687,000	3,124,000	3,411,000	3,941,000
Childhood Disability (SSDI)	1,499,000	1,666,000	1,942,000	2,307,000	2,897,000	3,224,000	3,481,000	3,598,000	3,115,000	4,202,000
F.F.P. Rate	57.59%	52.43%	50.71%	58.76%	61.44%	61.94%	62.11%	61.52%	61.32%	55.12%
Daily Institutional Population	1,139	1,130	1,096	1,069	1,038	1,016	966	733	649	513
Institutional Per Diem	22.18	27.77	28.63	37.27	38.49	57.66	60.64	98.89	119.68	170.53

OHIO

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Ohio's state-managed services for mentally retarded and developmentally disabled people are provided by a cabinet-level state agency, the Department of Mental Retardation/ Developmental Disablities (DMR/DD). The Department was formed in FY 1978; prior to this, services were provided by the Department of Mental Health and Mental Retardation.

Budget Format. The budget categories were consistent for FYs 1978-86 (in FY 1977 when MR/DD services were combined with Mental Health, there was no fund source breakdown, although the program elements "community" and "institutional" and "regional services" were indicated). The FY 1978-86 fund sources in the published executive budgets (and in subsequent correspondence from DMR/DD officials) were:

- State Special Revenue Fund (Code 08)
- Intra-governmental Services Fund (Code 09)
- Federal Special Revenue Funds (Code 10)
    - Medicaid
    - Federal Grants
    - Title XX Social Services
    - Letter of Credit
    - Elementary and Secondary Education
    - Vocational Rehabilitation
- General Revenue Fund (Code 11)

For the purpose of our analysis the State Special Revenue Fund and Intra-governmental Services Fund were categorized as Other State Funds. Letter of Credit, Elementary and Secondary Education and Vocational Rehabilitation were categorized Other Federal Funds.

Note on Data Sources. Ohio Executive Budgets were reviewed for the FYs 1979-81, FYs 1981-83, and FYs 1983-85 biennia. These budget documents collectively provided actual expenditure figures for FYs 1977-82. FY 1983 figures were "estimated" operating budget sums while the FY 1984 figure consisted of "Governor's Recommendations."

Consistent with the project's definitions, the Central Administration element noted in Budget Format above was excluded from the analysis, while Regional Services was included with the community services portion of the analysis. According to Mark Bohlmann, Director, Office of Information Systems, DMR/DD (p.c., telephone, 8/9/83) debt service on capital projects was included within the central administration figures, and "Rent Payments-Ohio Public Facilities Commission" (OPFC), an amortization of the expense of capital projects additional to maintenance expenses already within the developmental center budget figures, was excluded from the analysis, along with the other central administration expenses.

The Regional Services line was eliminated after FY 1983. However, the regional activities (case management, service referrals) were continued, administered out of central administration.

FY 1984 and FY 1985 (actual), and FY 1986 (appropriation) exenditure figures for Developmental Centers were provided in 2/24/86 correspondence from George Hardie, Budget Manager, Department of Mental Retardation and Developmental Disabilities. The correspondence contained a computer print-out entitled "DMR/DD Historical and FY 1986-1987 Budget Cycle Financial Data," which presented expenditures for Central Office (Budget Unit #320), Community Services (#322) and Developmental Centers (#323).

For each budget unit, there was a breakdown of fund sources, which with assistance from Hardie (p.c., telephone, 3/11/86), we assigned to the appropriate categories of our analysis format. For FY 1984, a figure of $1.8 million was reported in community services, designated as Medicaid/Medicare. However, this revenue was actually reimbursement for services at the Developmental Centers, although "paid" to the account CBMR/DD Operating (Code 11-501) as statutorily mandated reimbursements for children and adolescent education services. In our analysis, this amount was included in the category: Community Services General Fund.

Developmental Center average daily population figures were obtained from Donna Wood, Manager, Client Movement, Office of Information Systems (p.c., telephone, 3/12/86). Figures for FYs 1977-83 were available from the budget documents.

Community services budget unit expenditure data were provided in the 2/24/86 correspondence from Hardie; in addition, our analysis for FYs 1984-86 included region field staff costs categorized in the Central Office (#320). Hardie provided personal services and maintenance estimates for field staff. We then determined what percentage these were of total central office personal service and maintenance, and utilized these percentages to determine SSBG and Other Federal fund amounts to be assigned to community services. For example, in FY 1986, field staff was estimated to be 29.8% of central office; thus, $51.3 thousand in SSBG funds and $478.4 in Other Federal Funds were attributed to the corresponding fund categories in community services for our analysis. We also obtained private ICF/MR expenditure figures from another source within DMR/DD (see notes below).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of aggregated developmental center funding. George Hardie, DMR/DD Fiscal Services, (p.c., telephone, 10/13/83) provided revised Federal ICF/MR revenue figures for FYs 1981-83, (extracted from the "State Special Revenue Fund" line reported in the Executive Budget document). He also recommended that we utilize FY 1978 fund source ratios to apportion the FY 1977 total expenditures figures obtained from the Executive Budget.

III. COMMUNITY SERVICES FUNDS

Community services funding consisted of the following program elements, as identified in the Executive Budget:

Operating Expenses
Volunteer Recruitment
Vehicle Purchases
County MR Boards-Transportation
Community Programs
Impact Grant
School Transportation
County MR Boards Operating
Special Education
Purchase of Service MR/DD

and private ICFs/MR (see discussion below).

More than 70% of DMR/DD community services dollars were expended on the latter three programs; nearly 50% of all dollars were spent on Purchase of Service MR/DD.

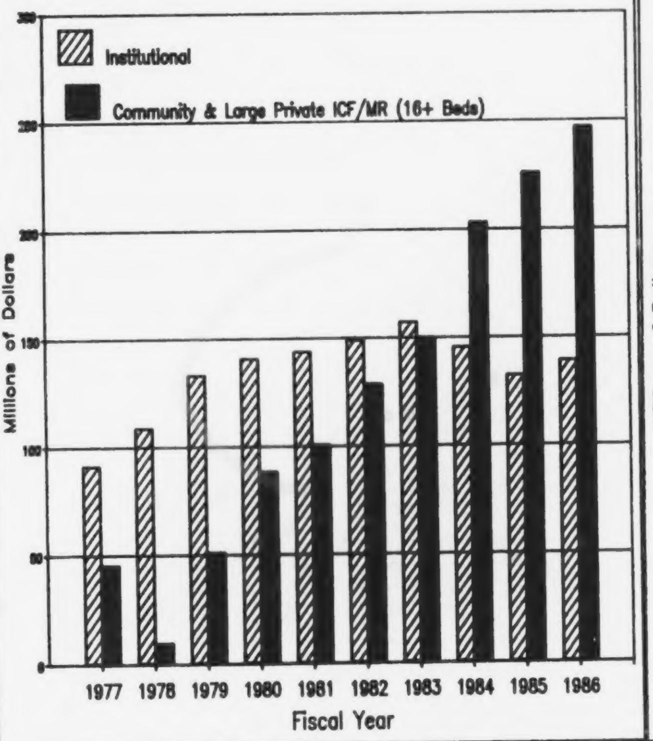
Private ICF/MR figures were from Ted Fry, Budget Services, DMR/DD (p.c., telephone, 10/13/83) for FYs 1977-82. M. Bohlmann (p.c., correspondence, 11/10/83) provided additional information on private ICF/MR sites: annual expenditure (with 95% occupancy), a weighted average per diem ($49.65), total beds (3478) and projected FY 1984 expenditures. The FY 1983 figure was an interpolation. Fiscal Year 1984 figures were updated by Bohlmann (p.c., telephone, 6/15/84) to reflect the costs of 135 facilities (3886 beds).

Ted Fry, DMRDD (p.c., telephone, 2/19/86) provided calendar 1983, 1984, 1985 and 1986 figures for numbers of beds and expenditure totals. We estimated FY 1984-86 expenditures by averaging calendar year 1983/84, 1984/85 and 1985/86 figures. We subsequently received from Fry's office a computer print-out which listed facilities individually (by code number), with the number of IMR beds, and the current per diems. We sorted the facilities by bed size, to determine that there were 97 facilities of 15 beds or less (average 9.1 beds), and 84 facilities of 16 beds or more (average 46.8 beds). We utilized the per diem figures to estimate FY 1986 expenditures for ICFs/MR Small and ICFs/MR Large, and (with the Bureau of Economic Analysis's State and Local Government implicit price deflators) imputed prior years' expendtures for ICFs/MR Large. Finally, we attributed the balance of private ICF/MR expenditures in each of these prior years to the small (15 beds or less) facilities.

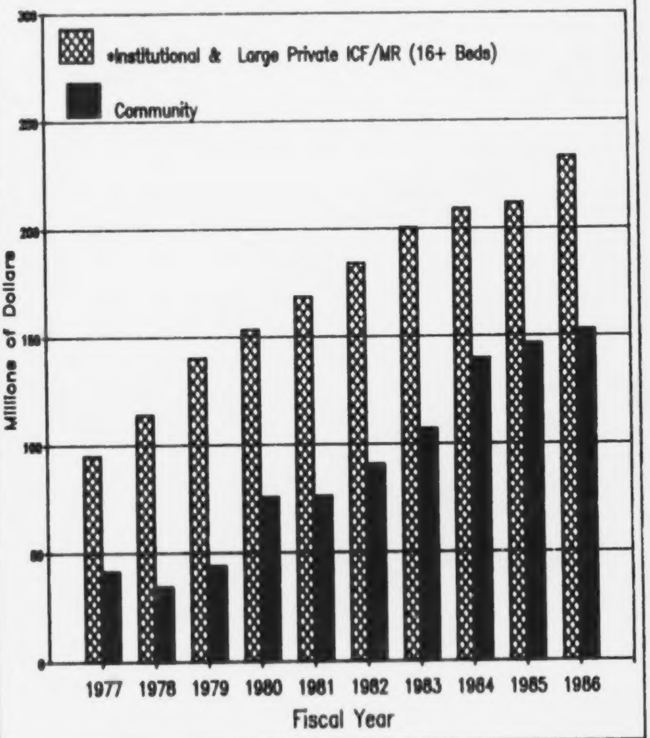
Title XIX Day Program and Waiver. Ohio did not apply for the Title XIX Community Care Waiver. M. Bohlmann (p.c., telephone, 8/9/83) indicated that DMR/DD encouraged the development of ambulatory health care clinics which were termed "community hab centers." The individuals served lived at home and traveled daily to receive services outside the home--similar to ICF/MR, group home, or other "institution" residents. Although applications to HCFA for Title XIX certification were made, as of FY 1986 the programs were not federally reimbursed.

Federal Title XX/SSBG. For FY 1980, the Executive Budget indicated that "Other Federal Funds" for community services was at a level of $31,283,500, but did not identify any Title XX revenues. To determine the amount of Title XX in FY 1980, we interpolated between FY 1979 and FY 1981, for Federal funds other than Title XX. We then subtracted this interpolated figure, $5,904,000, from the Executive Budget Federal funds figure ($31,283,500), to estimate Federal Title XX at $25,379,500.

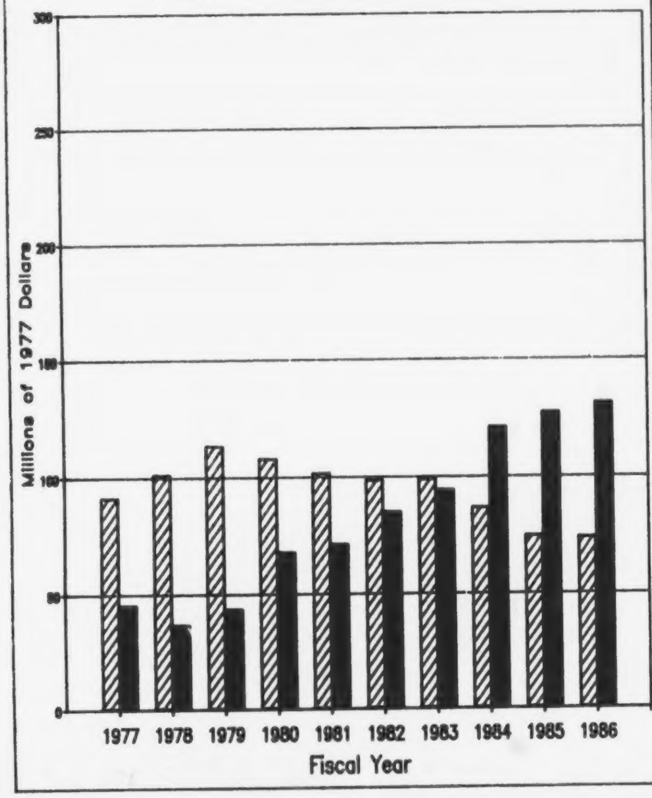
MR/DD Expenditures for *Institutional* & *Community* Services



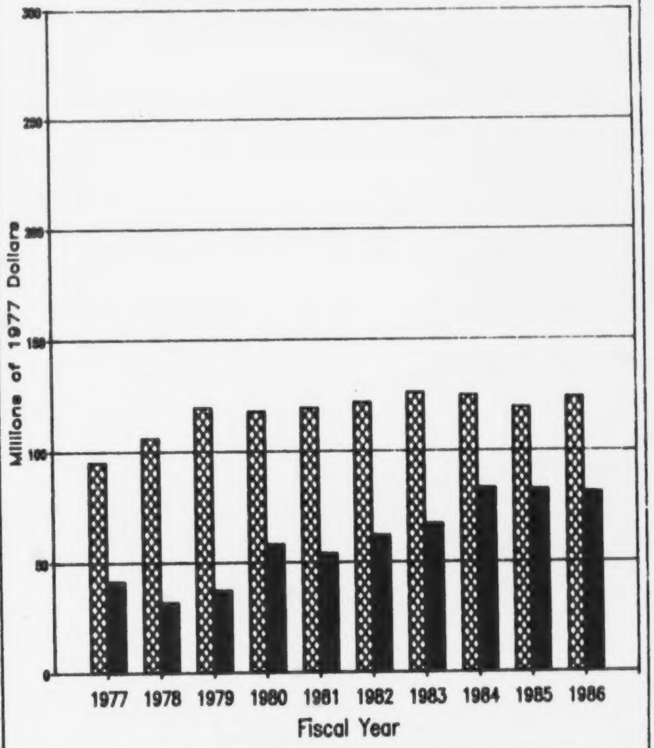
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



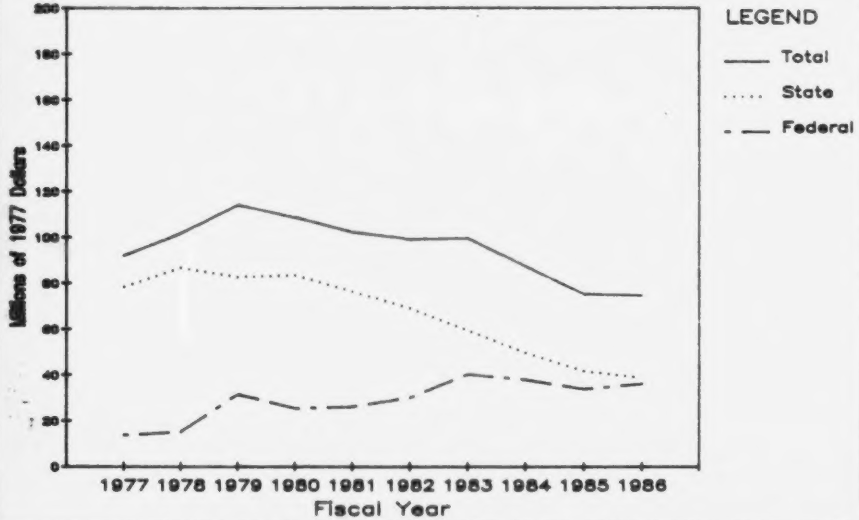
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

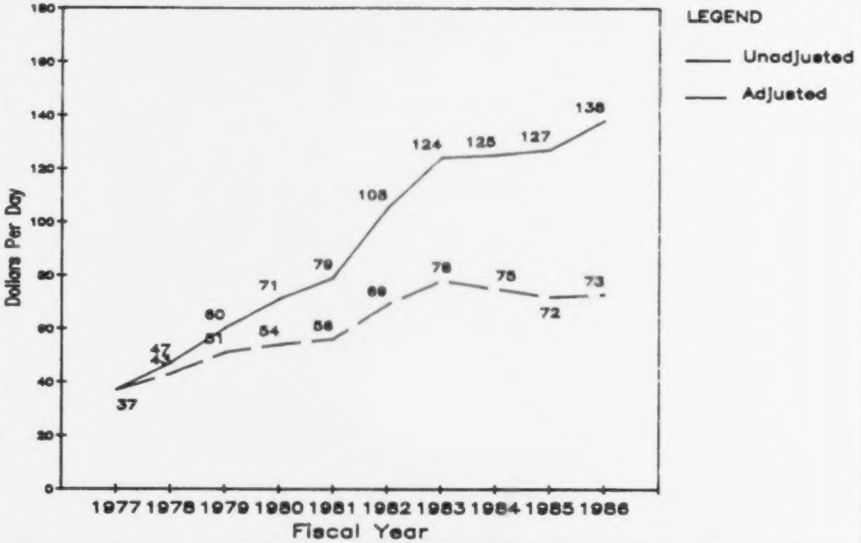
OHIO

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

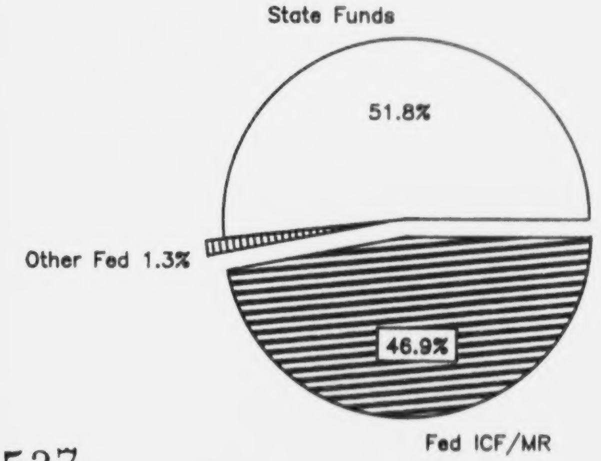


OHIO

Institutional Per Diem Costs: FY 1977–86

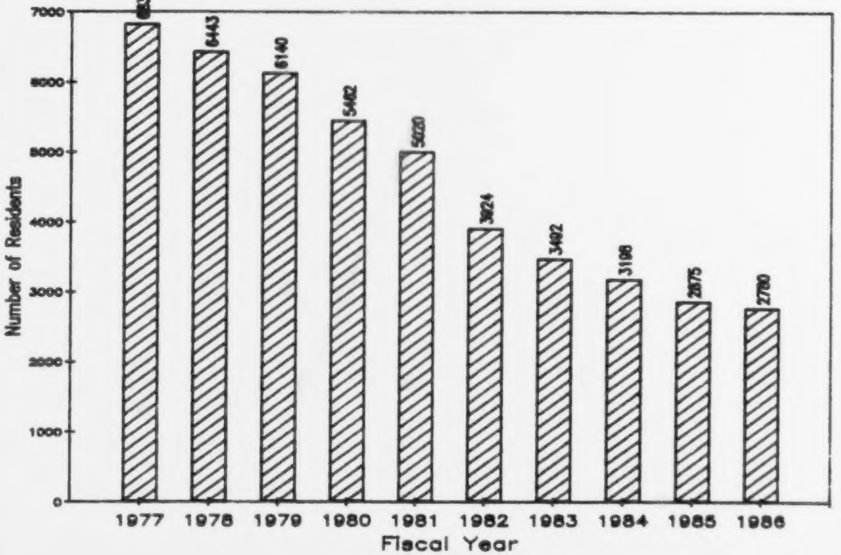


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $139.8 Million

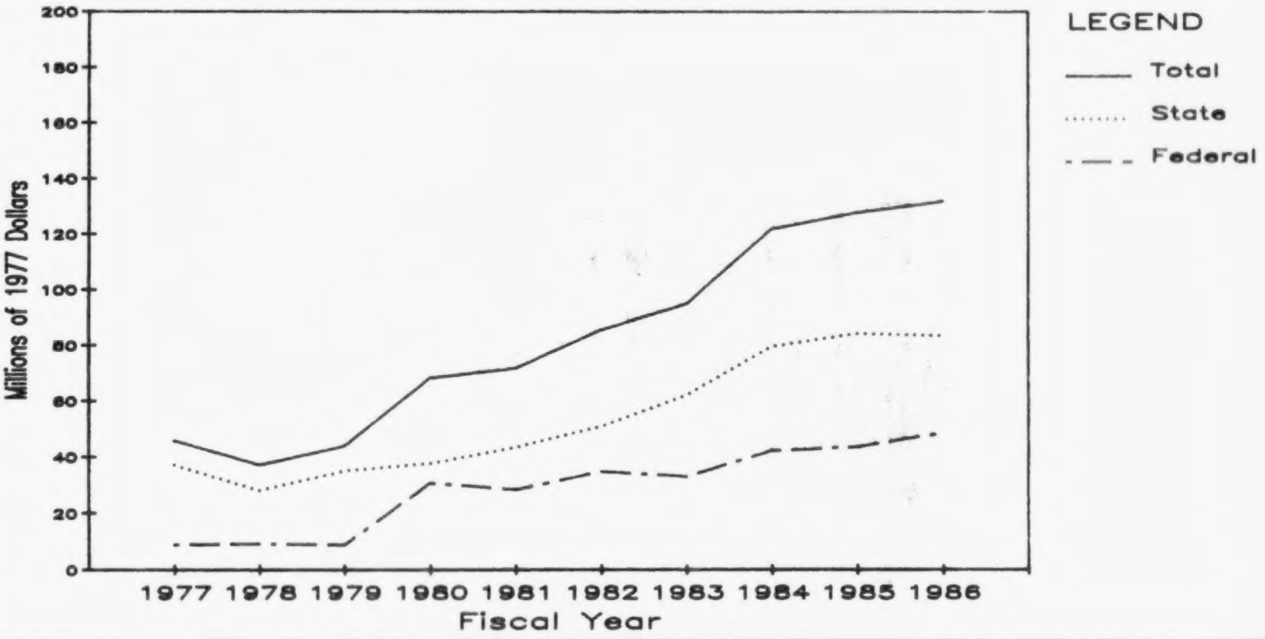
Average Daily Residents in Institutions



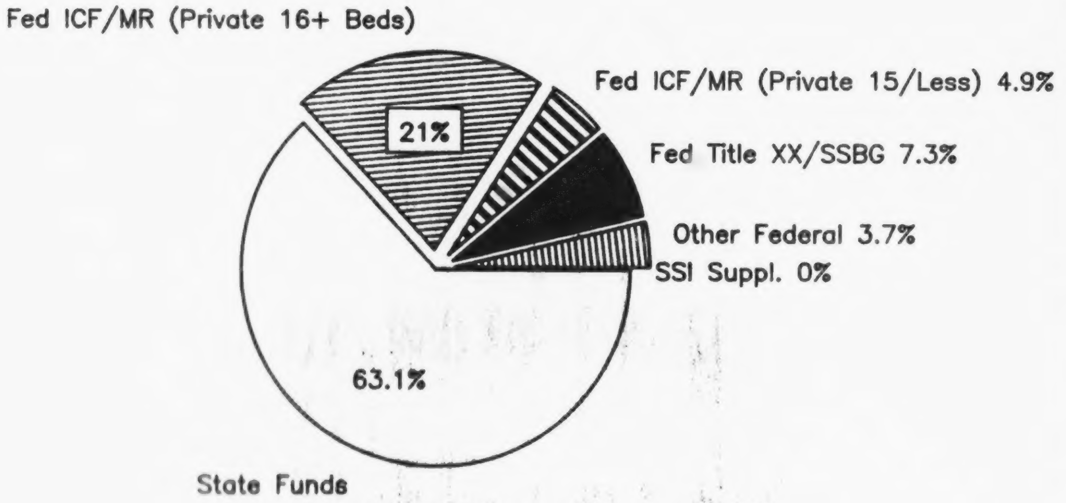
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

OHIO

Community Spending Adjusted for Inflation
By Level of Government: FY 1977—86



Community Revenue Detail: FY 1986 (Unadjusted)

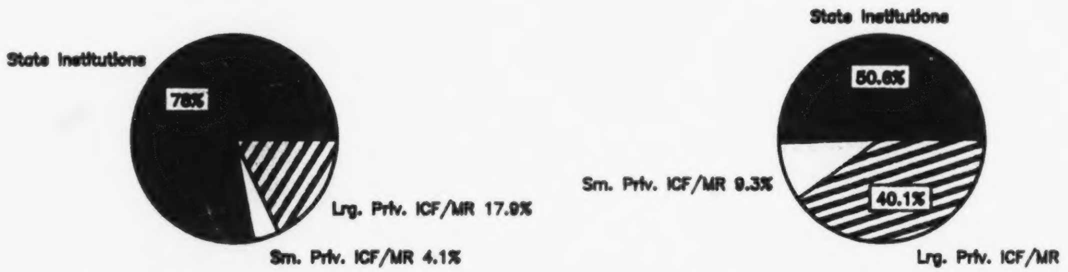


FY 1986 Total Funds: $247.5 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

OHIO

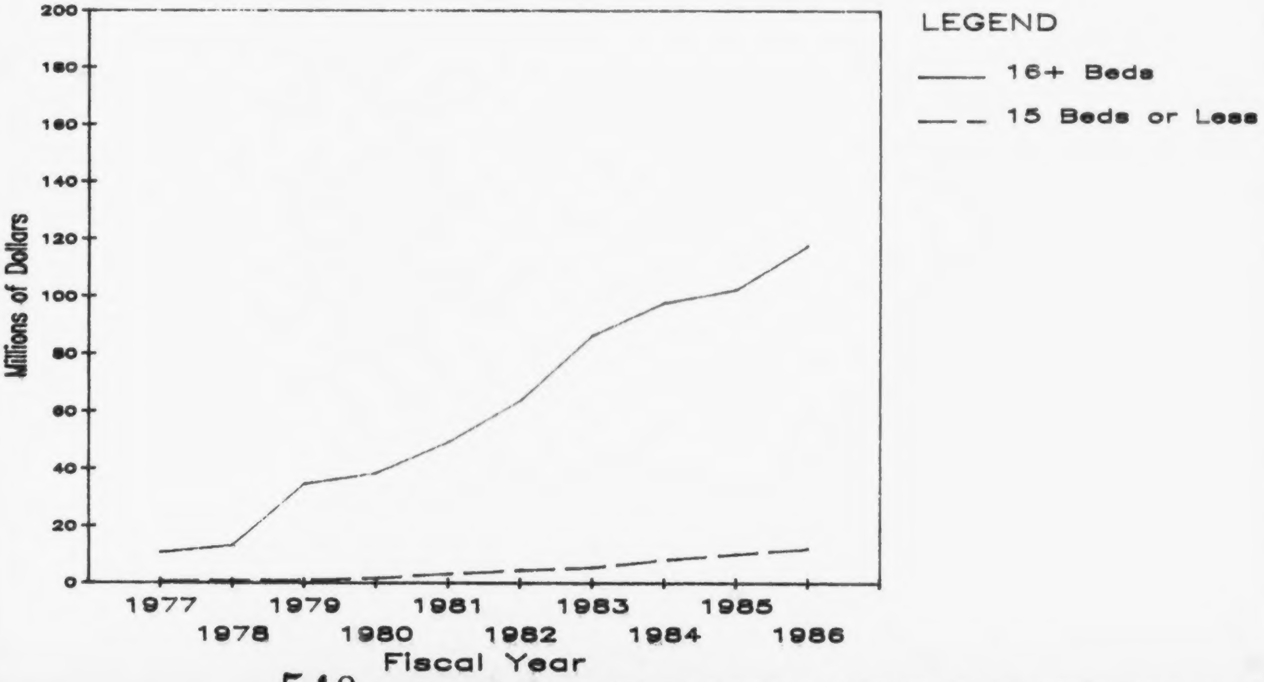
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $11.2 Million

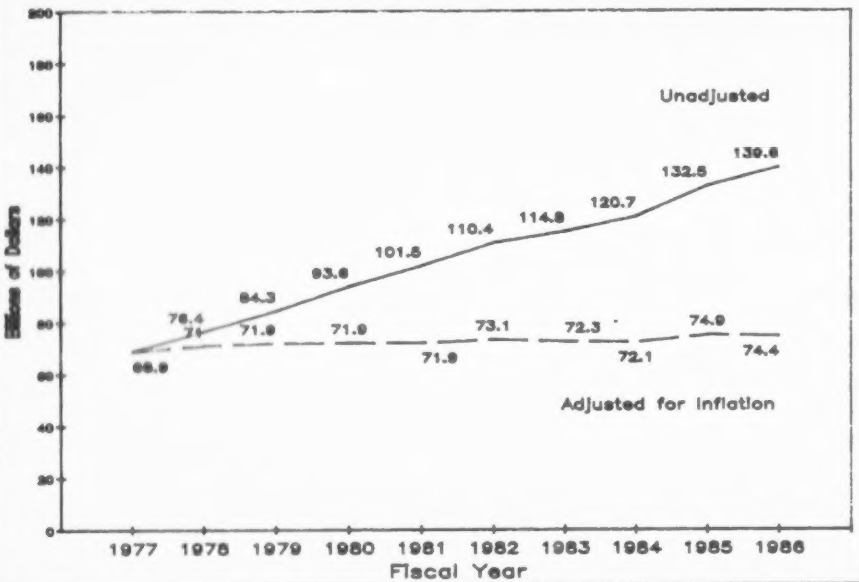
FY 1986 Total Federal Funds: $129.8 Million

By Facility Size, FY 1977–86

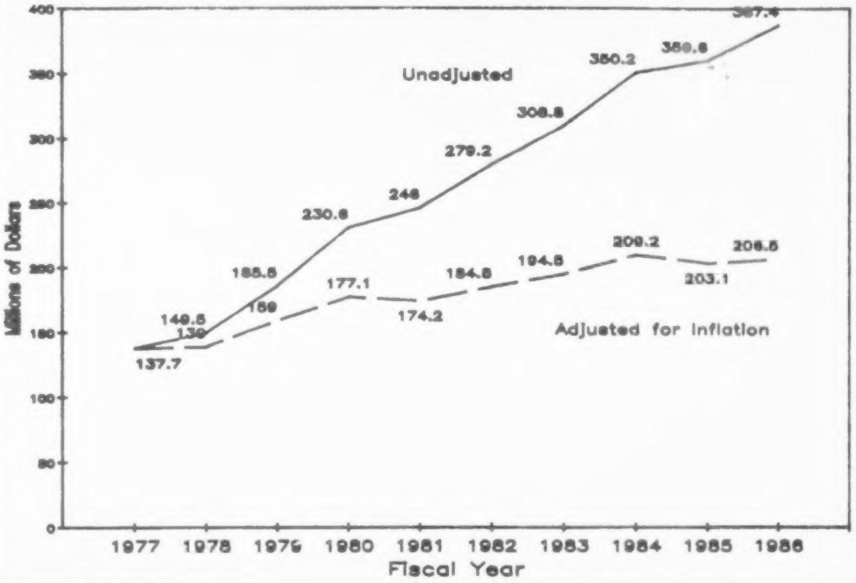


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

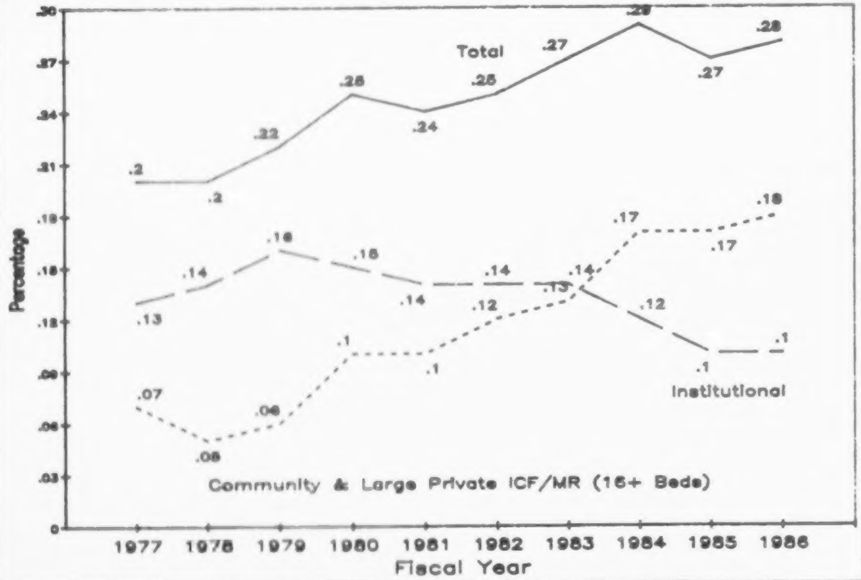
Personal Income in **OHIO**



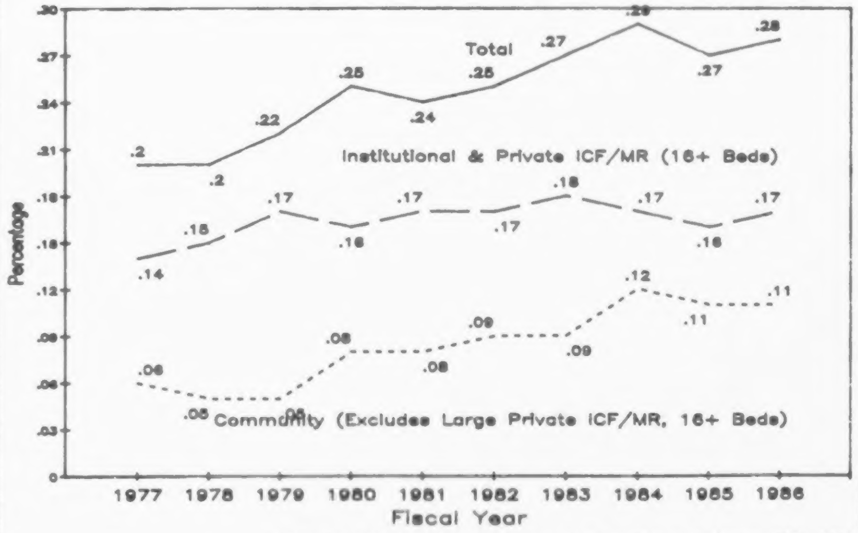
Total MR/DD Spending in **OHIO**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

OHIO 4/30/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	196,708,000	213,264,000	255,841,000	310,091,000	342,793,000	386,485,000	424,668,000	475,984,900	496,202,100	537,776,000
TOTAL INSTITUTIONAL/COMMUNITY	137,674,000	149,475,000	185,466,000	230,528,000	246,020,000	279,186,000	308,781,000	350,155,900	359,586,100	387,364,000
STATE FUNDS	115,209,000	123,380,000	138,224,000	157,707,000	169,119,000	181,214,000	192,466,000	216,222,700	222,621,300	228,680,500
General Funds	108,012,000	114,808,000	127,527,000	144,428,000	152,594,000	173,944,000	176,074,000	208,742,100	215,403,100	220,332,500
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	7,197,000	8,572,000	10,697,000	13,279,000	16,525,000	7,270,000	16,392,000	7,480,600	7,218,200	8,348,000
FEDERAL FUNDS	22,465,000	26,095,000	47,242,000	72,821,000	76,901,000	97,972,000	116,315,000	133,933,200	136,964,800	158,683,500
Title XIX Funds	11,186,000	13,873,000	35,589,000	40,080,000	52,598,000	68,444,000	91,935,000	105,952,400	112,616,200	129,753,900
Title XX / SSBG Funds	0	0	0	25,379,000	16,957,000	22,029,000	16,835,000	19,777,300	16,774,800	18,011,000
Other Federal Funds	11,279,000	12,222,000	11,653,000	7,362,000	7,346,000	7,499,000	7,545,000	8,203,500	7,573,800	10,918,600
INSTITUTIONAL SERVICES FUNDS	91,952,000	109,512,000	133,867,000	141,524,000	144,637,000	149,850,000	158,045,000	146,277,100	133,105,100	139,836,400
STATE FUNDS	78,287,000	93,237,000	96,944,000	108,632,000	107,839,000	104,373,000	94,184,000	83,027,500	73,491,400	72,417,200
General Funds	71,090,000	84,665,000	86,247,000	95,353,000	98,739,000	97,103,000	81,572,000	75,546,900	66,273,200	64,069,200
Other State Funds	7,197,000	8,572,000	10,697,000	13,279,000	9,100,000	7,270,000	12,612,000	7,480,600	7,218,200	8,348,000
FEDERAL FUNDS	13,665,000	16,275,000	36,923,000	32,892,000	36,798,000	45,477,000	63,861,000	63,249,600	59,613,700	67,419,200
Federal ICF/MR	8,727,000	10,394,000	30,736,000	31,434,000	35,793,000	44,686,000	62,692,000	62,557,900	58,476,900	65,619,600
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	4,938,000	5,881,000	6,187,000	1,458,000	1,005,000	791,000	1,169,000	691,700	1,136,800	1,799,600
COMMUNITY WITH FEDERAL INCOME MAINT	104,756,000	103,752,000	121,974,000	168,567,000	198,156,000	236,635,000	266,623,000	329,707,800	363,097,000	397,939,600
COMMUNITY SERVICES FUNDS	45,722,000	39,963,000	51,599,000	89,004,000	101,383,000	129,336,000	150,736,000	203,878,800	226,481,000	247,527,600
STATE FUNDS	36,922,000	30,143,000	41,280,000	49,075,000	61,280,000	76,841,000	98,282,000	133,195,200	149,129,900	156,263,300
General Funds	36,922,000	30,143,000	41,280,000	49,075,000	53,855,000	76,841,000	94,502,000	133,195,200	149,129,900	156,263,300
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	0	0	0	0	7,425,000	0	3,780,000	0	0	0
FEDERAL FUNDS	8,800,000	9,820,000	10,319,000	39,929,000	40,103,000	52,495,000	52,454,000	70,683,600	77,351,100	91,264,300
ICF/MR Funds	2,459,000	3,479,000	4,853,000	8,646,000	16,805,000	23,758,000	29,243,000	43,394,500	54,139,300	64,134,300
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	462,000	654,000	912,000	1,625,000	3,159,000	4,467,000	5,498,000	8,158,000	10,178,000	12,057,300
Large Private	1,997,000	2,825,000	3,941,000	7,021,000	13,646,000	19,291,000	23,745,000	35,236,500	43,961,300	52,077,000
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	0	0	0	25,379,000	16,957,000	22,029,000	16,835,000	19,777,300	16,774,800	18,011,000
Other Federal Funds	6,341,000	6,341,000	5,466,000	5,904,000	6,341,000	6,708,000	6,376,000	7,511,800	6,437,000	9,119,000
FEDERAL INCOME MAINTENANCE	59,034,000	63,789,000	70,375,000	79,563,000	96,773,000	107,299,000	115,887,000	125,829,000	136,616,000	150,412,000
Suppl. Security Income (SSI)	37,760,000	40,148,000	42,808,000	46,826,000	55,662,000	61,546,000	66,487,000	74,771,000	84,686,000	90,781,000
Childhood Disability (SSDI)	21,274,000	23,641,000	27,567,000	32,737,000	41,111,000	45,753,000	49,400,000	51,058,000	51,930,000	59,631,000
F.F.P. Rate	53.39%	54.94%	55.46%	55.19%	55.10%	55.10%	55.10%	55.36%	55.44%	55.44%
Daily Institutional Population	6,838	6,443	6,140	5,462	5,020	3,924	3,492	3,198	2,875	2,780
Institutional Per Diem	36.84	46.57	59.73	70.79	78.94	104.62	124.00	124.97	126.84	137.81

OKLAHOMA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The Division of Developmental Disabilities and Mental Retardation Services (Division of DD/MR) is within the Department of Human Services. Prior to FY 1981, this was the "Department of Institutions, Social and Rehabilitation Services." As of 10/11/83, the Chief of the Division of DD/MR began reporting to the Director of Human Services. Prior to this, DD/MR reported to an Assistant Director in charge of Developmental Disabilities, Juvenile Services, and Rehabilitation. The three State Schools for the MR/DD population came under the management of the Division of DD/MR in January, 1983.

Budget Format. Our review of the State of Oklahoma Executive Budget documents suggested the following budget components for MR/DD services in Oklahoma:

Department of Human Services
Annually Appropriated: General Revenue
: Human Services Fund
[General Revenue Special]
Continuous Appropriation: Assistance Fund
Federal
Other
Net Cash Balance

[Expenditures by Activity]*
"Childrens Institutions"--MR
Enid State School
Pauls Valley State School
Hissom Memorial Center
M/R Care-Training (FY 1983-84 only)

*Re-cap; fund sources not available

Note on Data Sources. State of Oklahoma Executive Budget documents were reviewed for FYs 1980, '81, '82, '83 and '84. They provided "actual" expenditure figures for FYs 1977-82, "budget work program" figures for FY 1983, and "Governor's Recommendation" figures for FY 1984. Jean Cooper, Ed.D., Chief, Division of DD/MR provided community and institutional services expenditure figures (p.c., correspondence, 10/5/83). These figures were categorized "actual" for FYs 1977-82 and "revised estimate (appropriation)" for FYs 1983 and '84. Cooper noted in her correspondence that the expenditure figures were obtained from the Oklahoma Department of Human Services Annual Reports, and from Reports of the Oklahoma Commission for Human Services.

Expenditure figures for FY 1984 and FY 1985 (actual), and for FY 1986 (estimated based on appropriation) were provided by Dr. Jean Cooper (p.c., telephone, 2/27/86). The FYs 1985-86 average daily population figures for Enid and Pauls Valley State Schools and Hissom Memorial Center were also provided. Community services expenditure figures for FY 1984 and FY 1985 (actual) and for FY 1986 (estimated based on appropriation) were provided by J. Cooper (p.c., telephone, 2/26/86) for the various components managed by Developmental Disability Services in the Department of Human Services. These consisted of:

Special Projects
Case Management (supported @ 50% by Title XIX Waiver revenue)
Group Homes (range 6-12 beds, average 9 beds; a projected 625 beds by end of FY 1986)
Sheltered Workshops
Regional Assessments (50% Federal Waiver reimbursement)
Federal Developmental Disabilities Grants
Other Waiver services @ 57.3% Federal reimbursement (Habilitation, Respite Care, Foster Care and Adult Day Care)

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of aggregated expenditures for the Enid and Pauls Valley State Schools and for Hissom Memorial Center.

Other State Funds included in our analysis were sales tax. There were no State General Funds reported.

Other Federal Funds consisted of Foster Grandparents Federal funds. Title I, Public Law 89-313 Federal funds were managed by Local School Districts, and were therefore not included in the present analysis.

III. COMMUNITY SERVICES FUNDS

Community services consisted of expenditures for the operation of group homes, sheltered workshops, and other privately-run, community-based programs.

Other State Funds. As was the case with institutional services, these figures were originally reported as "sales tax," and no State General Funds were reported.

Private ICF/MR. No private ICF/MR programs were certified until FY 1985. Some of the Intermediate Care Facilities which were converted were formerly receiving "specialized rates" (25% higher than the ICF rate) to serve residents discharged from the state schools. This "specialized rate" program began in 1972, involved six facilities in FY 1977 and up to nine facilities in March, 1983 (total 700 beds), when the specialized rate was terminated because of inconsistency with Federal Medicaid regulations. The facilities participating had submitted program plans, which were reviewed for special rate approval by a Department of Human Services (previously "Department of Institutions, SRS") committee, (p.c., telephone, Mike Fogarty, Medical Services Unit, 6/4/84).

Twelve ICFs/MR (total 1279 beds) were phased in at a per diem rate of $36 during FY 1985; an additional 5 facilities (570 beds) were certified in the last quarter of FY 1986, at a per diem rate of $40. The state had plans for small (less than 15 beds) ICFs/MR which would be privately operated.

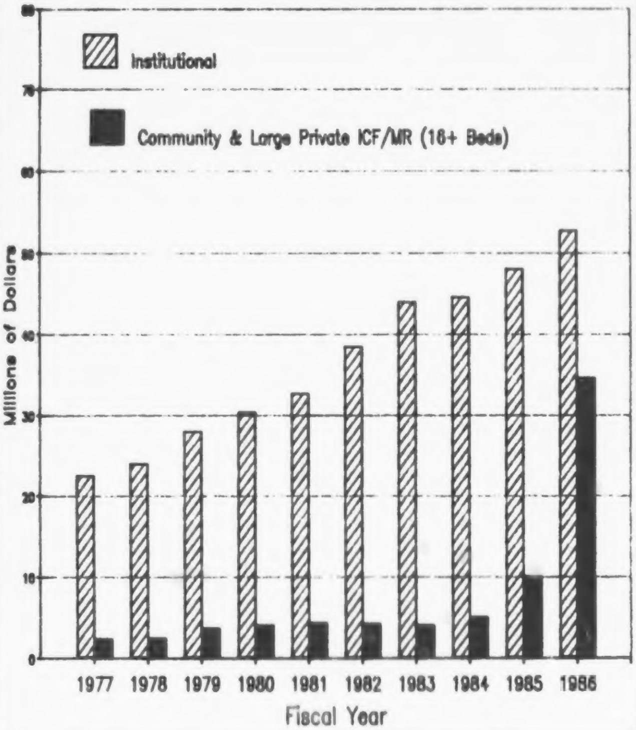
Waiver. The table in Note on Data Sources above indicates which services were reimbursed by the Community Care Waiver.

Federal Title XX/SSBG. Title XX services in Oklahoma were managed by the Vocational Rehabilitation agency, and the amount of Federal Title XX funds specifically applied to MR/DD services was negligible.

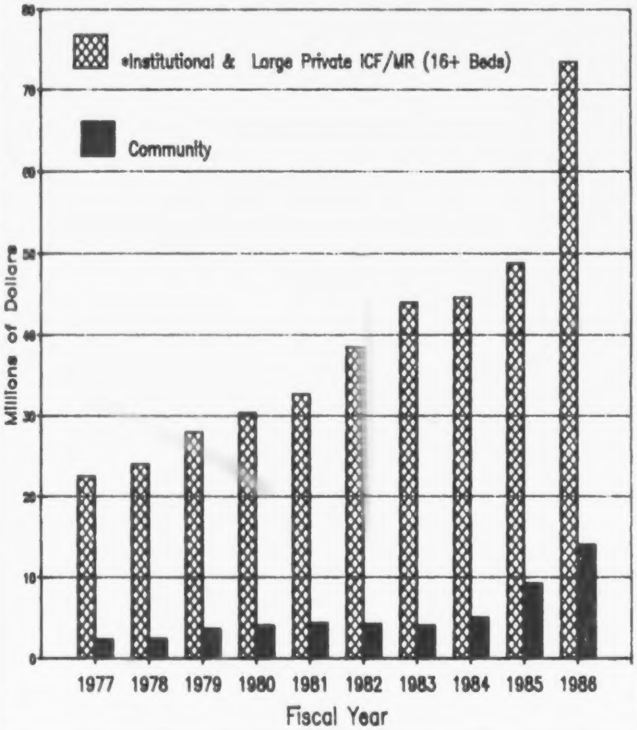
Other Federal Funds consisted of revenues from the Developmental Disabilities Act.

OKLAHOMA

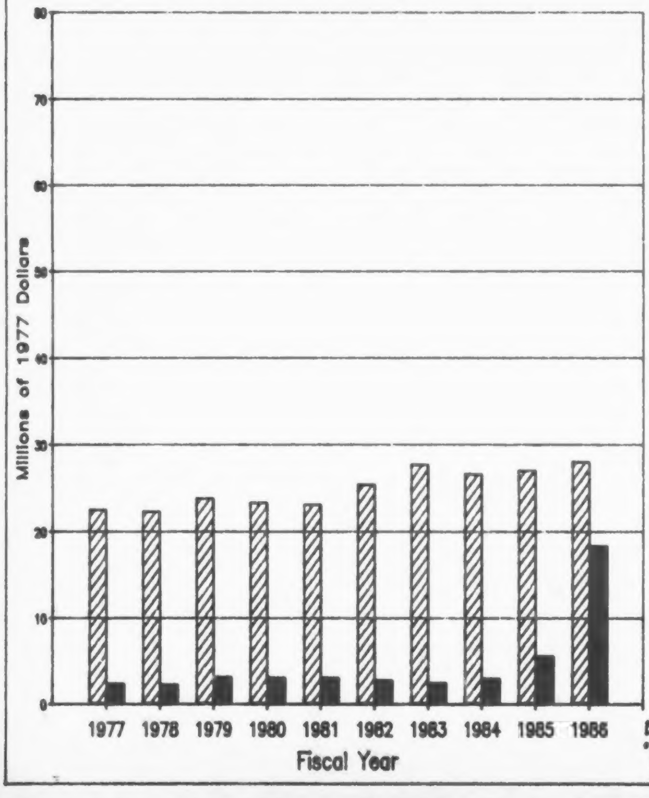
MR/DD Expenditures for *Institutional* & *Community* Services



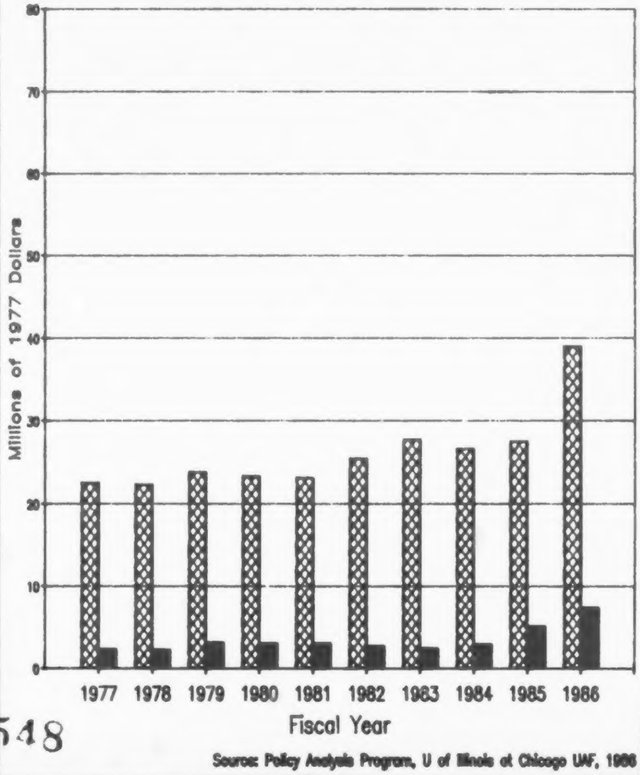
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



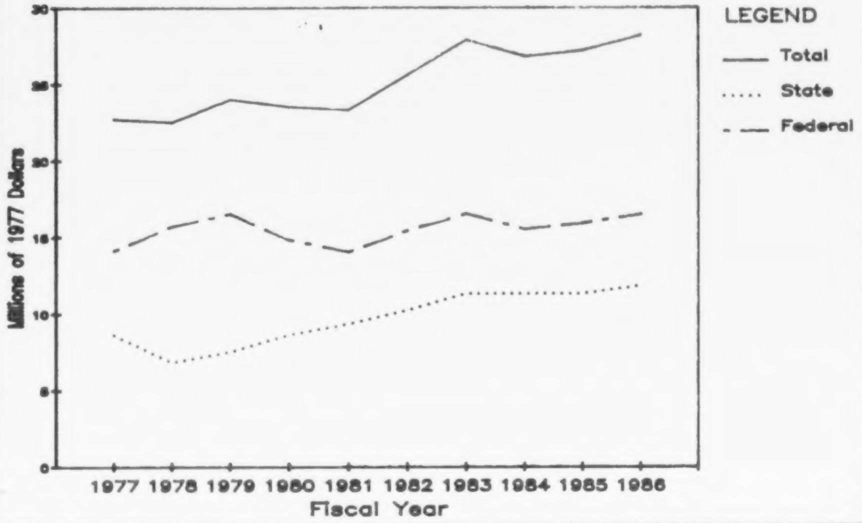
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

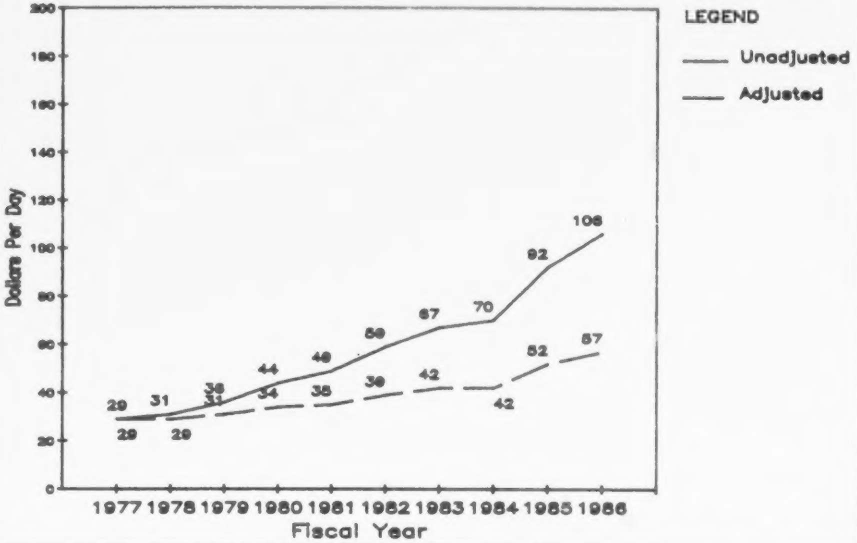
OKLAHOMA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

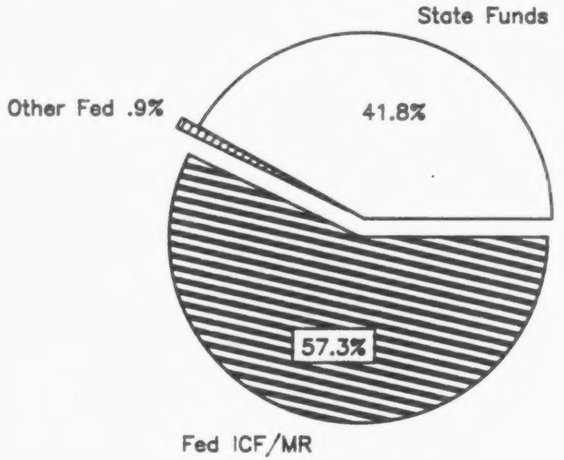


OKLAHOMA

Institutional Per Diem Costs: FY 1977–86

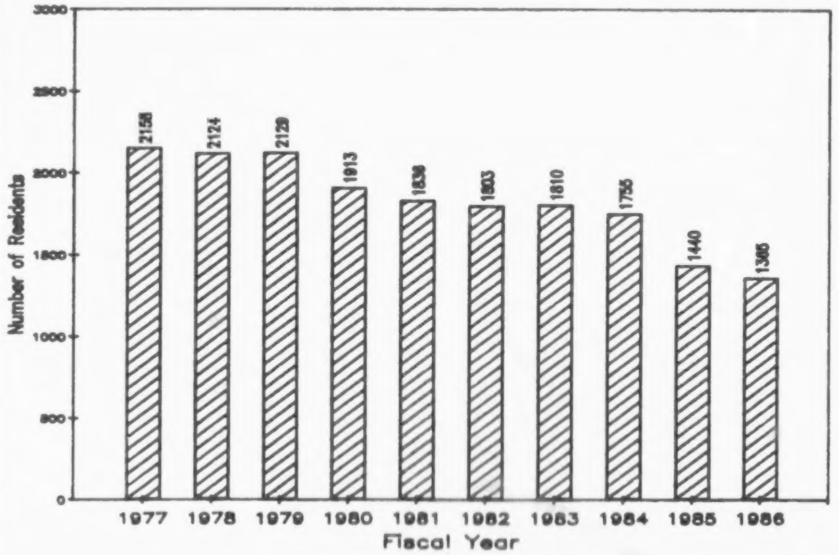


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $52.9 Million

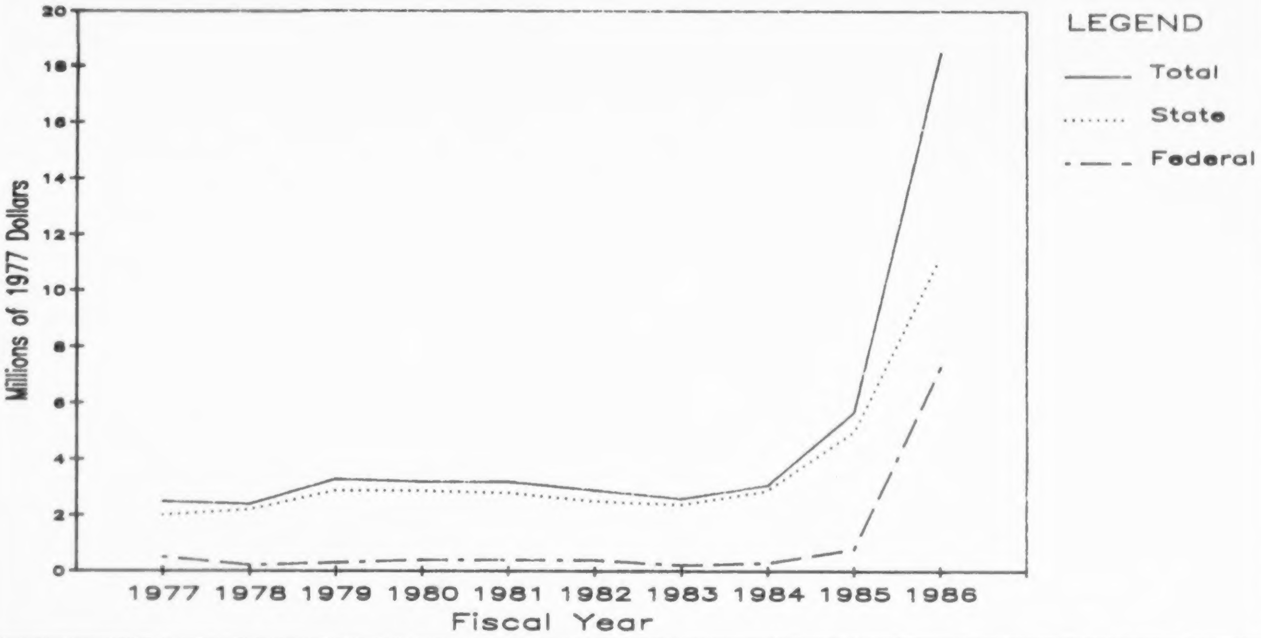
Average Daily Residents in Institutions



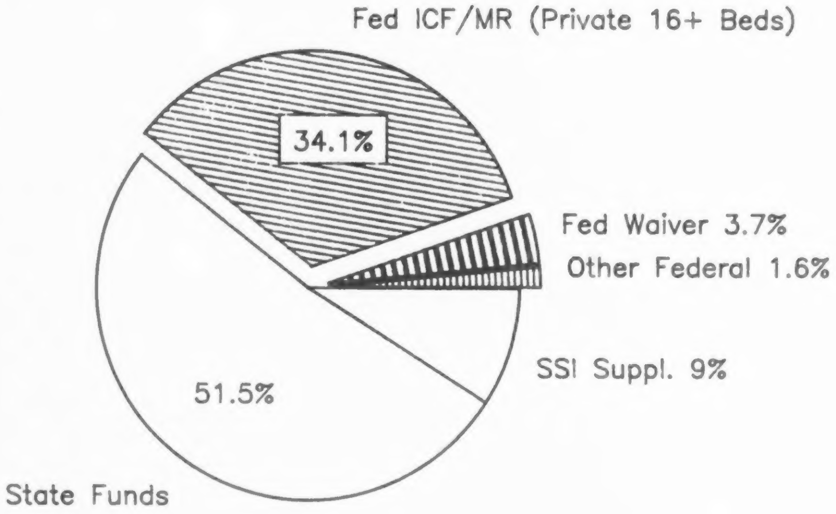
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

OKLAHOMA

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

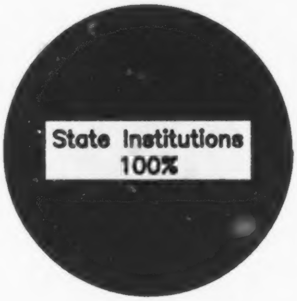


FY 1986 Total Funds: $34.8 Million

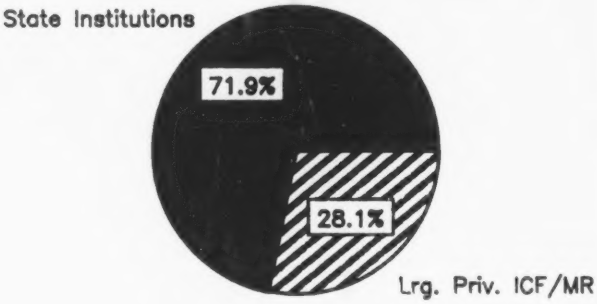
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

OKLAHOMA

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

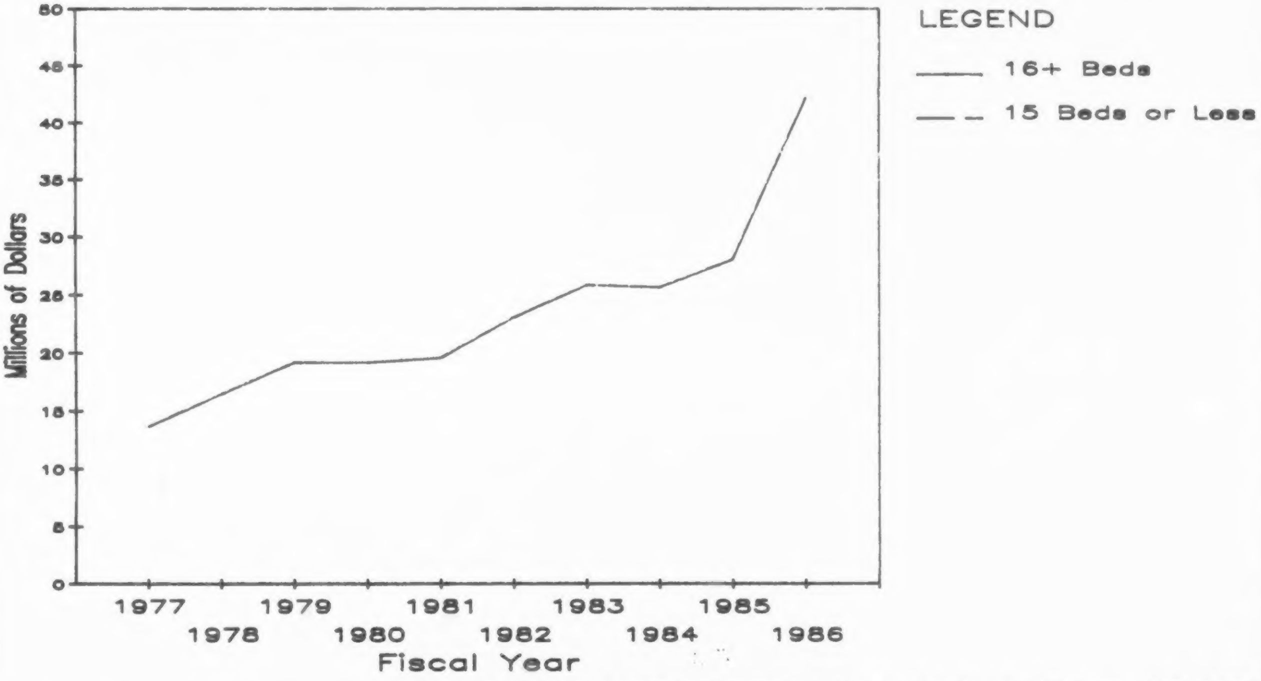


FY 1977 Total Federal Funds: $13.7 Million

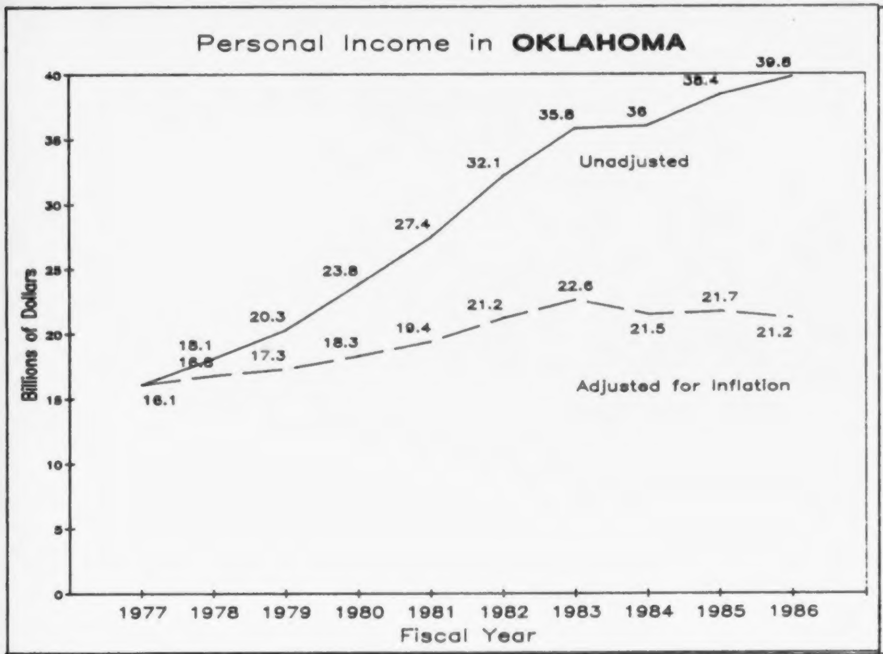


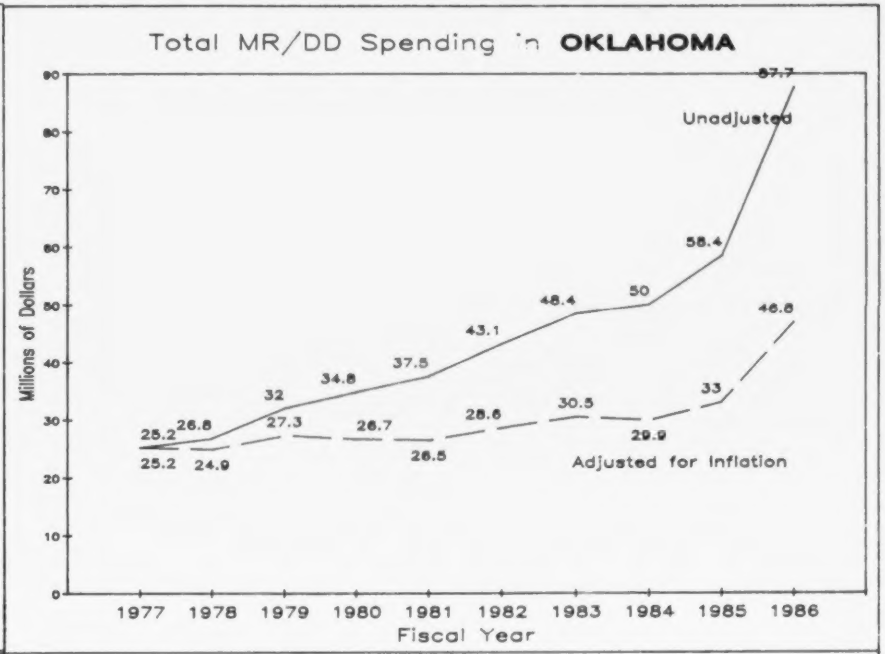
FY 1986 Total Federal Funds: $42.2 Million

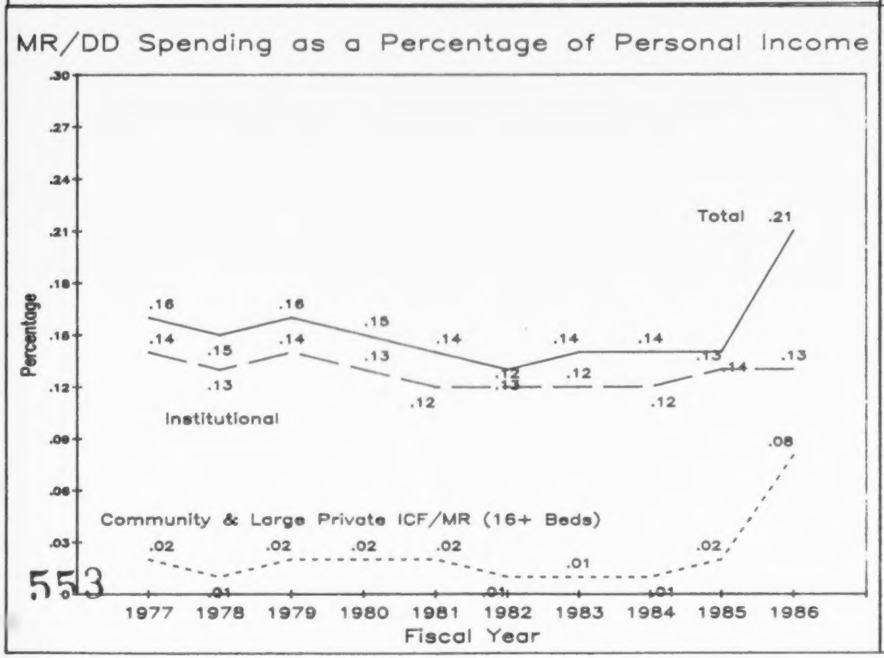
By Facility Size, FY 1977–86

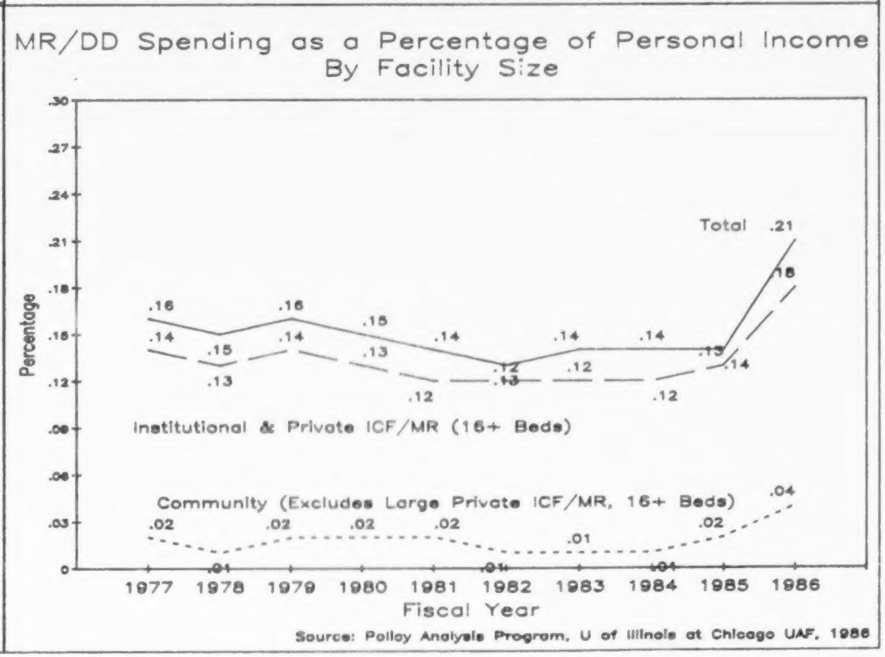


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988


Personal Income in **OKLAHOMA**


Total MR/DD Spending in **OKLAHOMA**


MR/DD Spending as a Percentage of Personal Income


MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

OKLAHOMA 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	42,942,000	45,750,000	52,463,000	57,461,000	64,330,000	72,380,000	79,227,000	83,537,600	95,350,300	125,583,800
TOTAL INSTITUTIONAL/COMMUNITY	25,318,000	26,918,000	32,246,000	35,072,000	37,728,000	43,408,000	48,640,000	50,263,600	58,590,300	87,783,800
STATE FUNDS	10,797,000	9,786,000	12,503,000	15,293,000	17,342,000	19,502,000	22,029,000	23,836,000	29,034,000	43,195,000
General Funds	0	0	0	0	0	0	0	0	0	0
SSI State Supplement	2,118,000	2,250,000	3,587,000	3,979,000	4,059,000	3,913,000	3,657,000	3,015,000	3,189,000	3,200,000
Other State Funds	8,679,000	7,536,000	8,916,000	11,314,000	13,283,000	15,589,000	18,372,000	20,821,000	25,845,000	39,995,000
FEDERAL FUNDS	14,521,000	17,132,000	19,743,000	19,779,000	20,386,000	23,906,000	26,611,000	26,427,600	29,556,300	44,588,800
Title XIX Funds	13,657,000	16,544,000	19,182,000	19,182,000	19,621,000	23,102,000	25,920,000	25,695,000	28,468,200	43,508,400
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	864,000	588,000	561,000	597,000	765,000	804,000	691,000	732,600	1,088,100	1,080,400
INSTITUTIONAL SERVICES FUNDS	22,709,000	24,202,000	28,180,000	30,571,000	32,939,000	38,691,000	44,232,000	44,843,600	48,217,800	52,938,500
STATE FUNDS	8,649,000	7,320,000	8,847,000	11,248,000	13,125,000	15,400,000	18,012,000	18,848,600	20,041,000	22,064,500
General Funds	0	0	0	0	0	0	0	0	0	0
Other State Funds	8,649,000	7,320,000	8,847,000	11,248,000	13,125,000	15,400,000	18,012,000	18,848,600	20,041,000	22,064,500
FEDERAL FUNDS	14,060,000	16,882,000	19,333,000	19,323,000	19,814,000	23,291,000	26,220,000	25,995,000	28,176,800	30,874,000
Federal ICF/MR	13,657,000	16,544,000	19,182,000	19,182,000	19,621,000	23,102,000	25,920,000	25,695,000	27,628,800	30,333,800
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	403,000	338,000	151,000	141,000	193,000	189,000	300,000	300,000	548,000	540,200
COMMUNITY WITH FEDERAL INCOME MAINT	20,233,000	21,548,000	24,283,000	26,890,000	31,391,000	33,689,000	34,995,000	38,694,000	47,132,500	72,645,300
COMMUNITY SERVICES FUNDS	2,609,000	2,716,000	4,066,000	4,501,000	4,789,000	4,717,000	4,408,000	5,420,000	10,372,500	34,845,300
STATE FUNDS	2,148,000	2,466,000	3,656,000	4,045,000	4,217,000	4,102,000	4,017,000	4,987,400	8,993,000	21,130,500
General Funds	0	0	0	0	0	0	0	0	0	0
SSI State Supplement	2,118,000	2,250,000	3,587,000	3,979,000	4,059,000	3,913,000	3,657,000	3,015,000	3,189,000	3,200,000
Other State Funds	30,000	216,000	69,000	66,000	158,000	189,000	360,000	1,972,400	5,804,000	17,930,500
FEDERAL FUNDS	461,000	250,000	410,000	456,000	572,000	615,000	391,000	432,600	1,379,500	13,714,800
ICF/MR Funds	0	0	0	0	0	0	0	0	460,200	11,875,700
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	0	0	0	0	0	0	0	0	460,200	11,875,700
Other Title XIX Funds	0	0	0	0	0	0	0	0	379,200	1,298,900
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	379,200	1,298,900
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	461,000	250,000	410,000	456,000	572,000	615,000	391,000	432,600	540,100	540,200
FEDERAL INCOME MAINTENANCE	17,624,000	18,832,000	20,217,000	22,389,000	26,602,000	28,972,000	30,587,000	33,274,000	36,760,000	37,800,000
Suppl. Security Income (SSI)	13,253,000	13,974,000	14,553,000	15,662,000	18,154,000	19,571,000	20,436,000	22,782,000	24,193,000	25,547,000
Childhood Disability (SSDI)	4,371,000	4,858,000	5,664,000	6,727,000	8,448,000	9,401,000	10,151,000	10,492,000	12,567,000	12,253,000
F.F.P. Rate	67.42%	65.92%	65.42%	64.09%	63.64%	60.84%	59.91%	58.83%	58.47%	57.60%
Daily Institutional Population	2,158	2,124	2,129	1,913	1,836	1,803	1,810	1,755	1,440	1,365
Institutional Per Diem	28.83	31.22	36.26	43.66	49.15	58.79	66.95	69.81	91.74	106.25

OREGON

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Oregon's MR/DD services are administered by the Department of Human Resources/Division of Mental Health. There is a distinct MR/DD organizational unit called Programs for Mental Retardation and Developmental Disablitities, headed by an Assistant Administrator.

Budget Format: MR program elements were presented in the Executive Budget in the following format:

FY 1983-85 Biennial Budget
  Department of Human Resources
  Mental Health Division
    Administration
      General Funds (The same three fund
      Other Funds sources appear under
      Federal Funds each subdivision).
    Local Mental Health Services
    State-Operated Services
    Medical Assistance and Enterprise Fund
    Capital Improvement
    Capital Construction
    Totals

FY 1979-81 Biennial Budget:
  Mental Health Division
    Administration
    Program for Mental & Emotional Disturbances
    Program for Alcohol & Drug Problems
    Capital Improvement
    Capital Construction
    TOTAL
(Same fund sources as FYs 1983-85 budget.)

Note on Data Sources. Despite the fact there is a distinct organizational MR program, the Mental Health Division's budget combined mental health and mental retardation expenditures. The Governor's FYs 1983-85 budget had only three program subdivisions within the MH division: 1) Administration, 2) Local MH Services and 3) State-Operated Services. Expenditures for the two fiscal years in each biennum were combined into one figure.

Nevertheless, for each biennium the MR/DD Office put together a workbook with which to defend the budget before the State Legislature's Ways and Means Committee. Expenditure figures used in our analysis were obtained from that document (p.c., correspondence, Keith Baker, Manager, MR/DD Program Office, 11/7/83 and 11/28/83). Capital construction costs incurred by the state were included in the state's operating budget, but these expenditures were excluded from our analysis. However, the federal ICF/MR reimbursement of capital costs was included.

Average daily population figures for FYs 1977-83 were obtained from Diana Hartwig, MR/DD Program Office (p.c., telephone, 6/2/84.)

Expenditure figures for FY 1984 and FY 1985 (actual) and for FY 1986 (budgeted estimate) for institutional and community services were obtained from Keith Baker, Financial Manager, MR/DD Program Office (p.c., telephone, 4/10/86). The budgeted average daily population figure for the Fairview and Eastern Oregon State Hospital and Training Centers for FY 1986 was 1,315; however, the revised projection was 1,356. We therefore determined a per capita cost for the 1,315 resident figure, and increased projected expenditures to match the adjusted population estimate, a method which was concurred with by the Financial Manager (p.c., telephone, 4/10/86). General Fund and Federal ICF/MR funds were increased proportionately; Other Federal Funds in our analysis (which consisted of Chapter I funds) was not increased.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included funding of Fairview Hospital and Training Center and a portion (based on population) of Eastern Oregon Hospital and Training Center, which served both residents with mental retardation, and with mental illness. Eastern was converted to a prison in FY 1985 (July 30, 1984); the 330 residents were relocated, 90 to a new 90-bed facility (remodeled staff houses) across the street from the old institution, 100 to Fairview and the remainder into various community-based residences.

State General Fund included the state share for Federal ICF/MR funds.

Federal ICF/MR. The Health Care Financing Administration reported Federal ICF/MR reimbursements of $13,409,000 in FY 1977, but the DD program budget did not detail those reimbursements. According to the DD Division Financial Manager, Federal ICF/MR funds were received by the single state agency, the Division of Adult and Family Services (Department of Human Resources). Our analysis, therefore, utilized HCFA figures; the total amount ($13,409,000) included $2,011,000 which we attributed as reimbursements to private ICFs/MR (see notes below). For other years of the analysis, Federal ICF/MR funds were provided in the state budget documents within the "Other Funds" category.

Other Federal Funds included ESEA, Chapter 1 funds.

III. COMMUNITY SERVICES FUNDS

Community services were managed by County Mental Health programs which in turn provided (or contracted to other local providers) residential and day services.

Private ICF/MR. In FY 1986 there were 8 private ICFs/MR ranging in size from 10 to 80 beds. Beginning in FY 1982, private ICF/MR expenditures were included in the Local/Community Services section of the MH Division budget. Prior to FY 1982, private ICF/MR funds were in the budget of the Human Resources agency, in the Division of Adult and Family Services. The MH Division Financial Manager stated that exact expenditures were not available from the Division of Adult and Family Services, but could be reasonably estimated assuming a 7% inflation rate, and imputing prior years' figures based on the FY 1982 amount (p.c., K. Baker, telephone, 11/28/83).

In FY 1986 there were still eight Private ICFs/MR at 10, 12, 16, 29, 30, 32, 70 and 84 beds each. We utilized the reimbursement per diem rates for the two smaller facilities ($46.79 and $47, respectively) to determine the expenditure level in FY 1986 for Private ICF/MR Small, and then utilized the Oregon FFP rates to calculate the Federal reimbursement amount. (We utilized the same ratio of expenditures in other analysis years.)

Waiver. Oregon's Medicaid Home and Community-based Care Waiver was one of the first approved by HCFA and expenditures for waivered services first appeared in the FY 1982 budget.

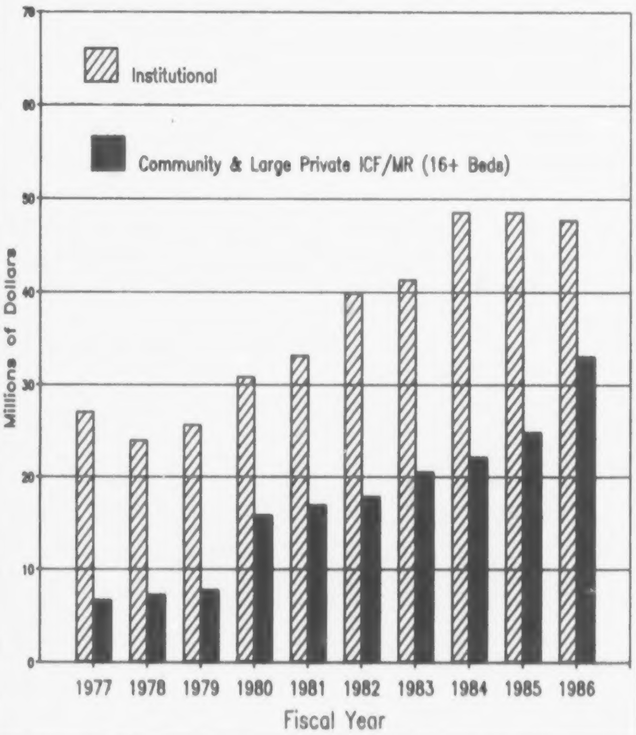
Title XIX Day Program consisted of figures reported as "administrative and case management program" reimbursed by Title XIX Federal funds. Approximately $500,000 per year of Federal funds were availabled for case management at the County Mental Health programs.

Federal Title XX/SSBG. Social Services Block Grant fluctuations were due to the transfer of "claims" between different programs within the Department of Human Resources (p.c., K. Baker, 4/10/86).

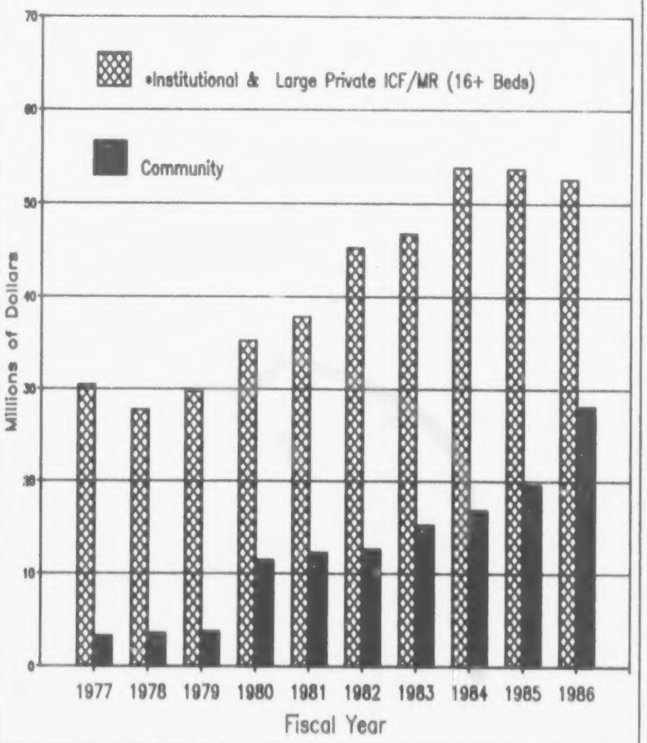
Other Federal Funds in the analysis consisted of Developmental Disabilities funds ($273.1 thousand in FY 1986) and Chapter I funds ($570.0 thousand). Baker (p.c.,) indicated that the Chapter I funds dropped in FY 1986 from a level of $1,307.3 in FY 1985 due to the legislative transfer of budget authority for Trainable Mentally Retarded (TMR) classrooms from the Department of Human Resources to the Department of Education.

OREGON

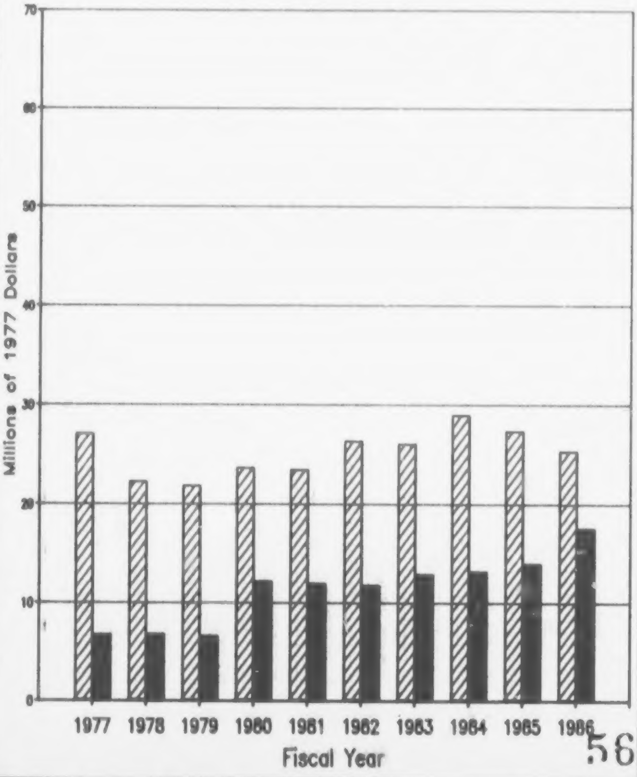
MR/DD Expenditures for *Institutional* & *Community* Services



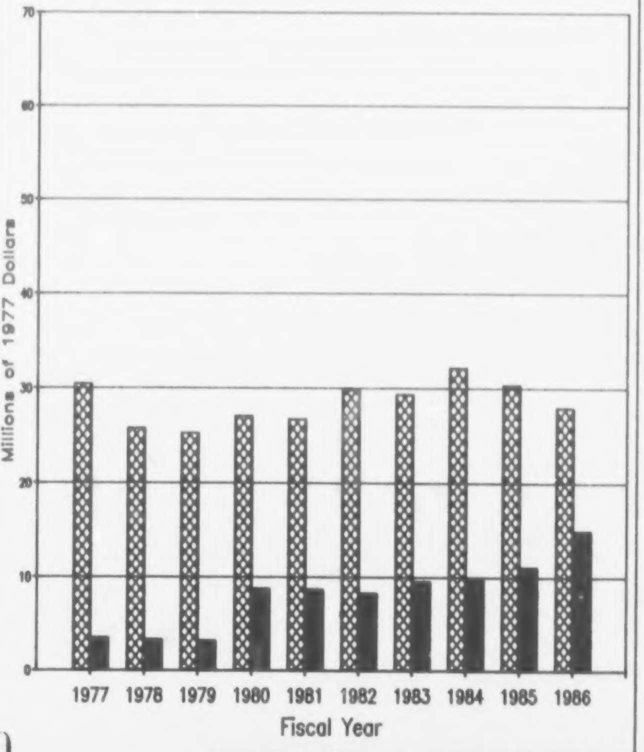
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



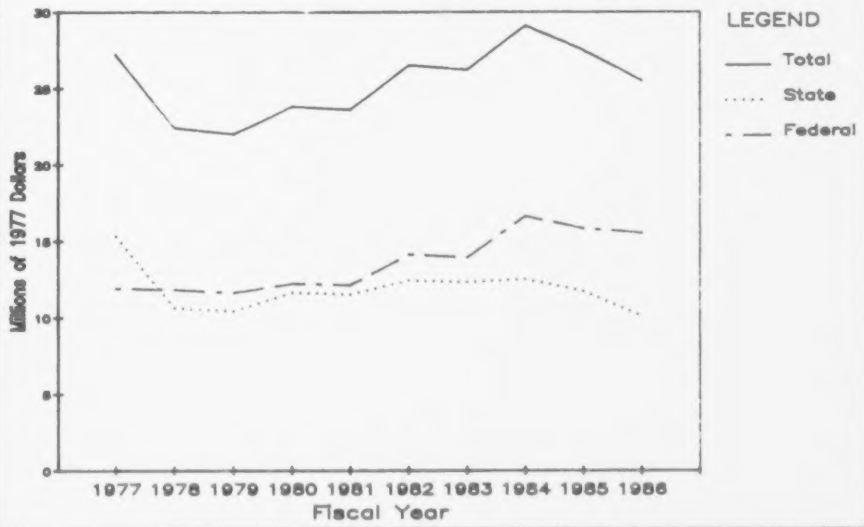
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

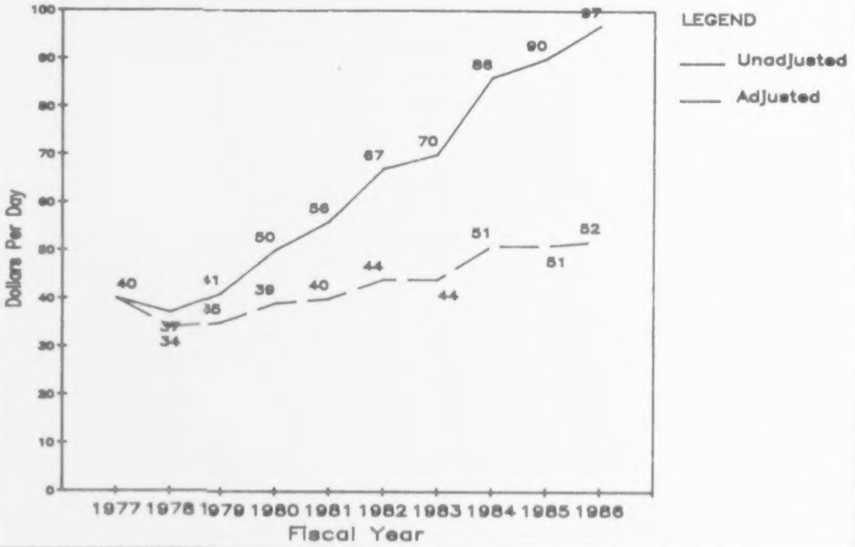
OREGON

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

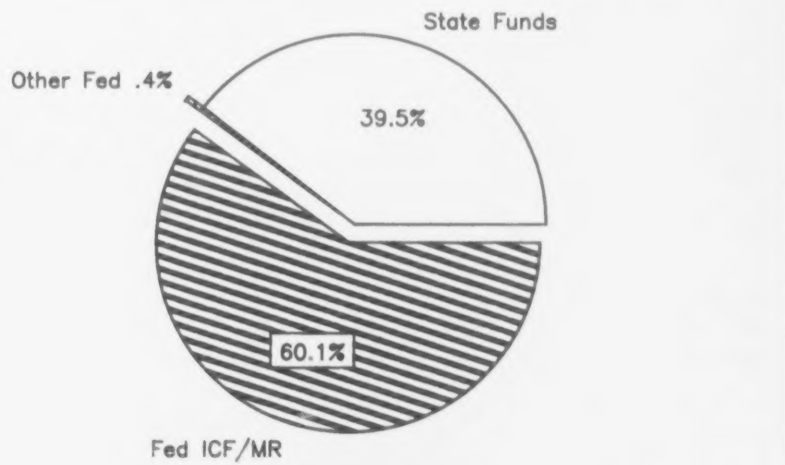


OREGON

Institutional Per Diem Costs: FY 1977–86

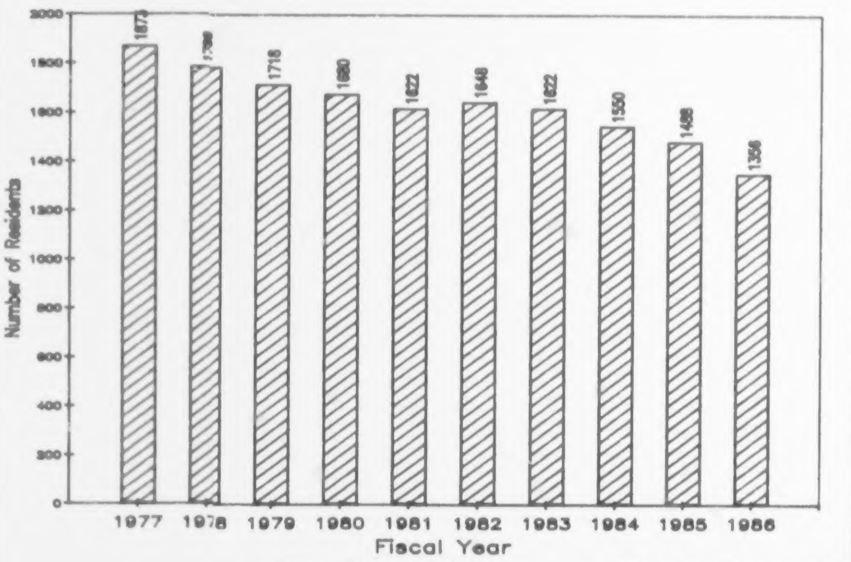


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $47.9 Million

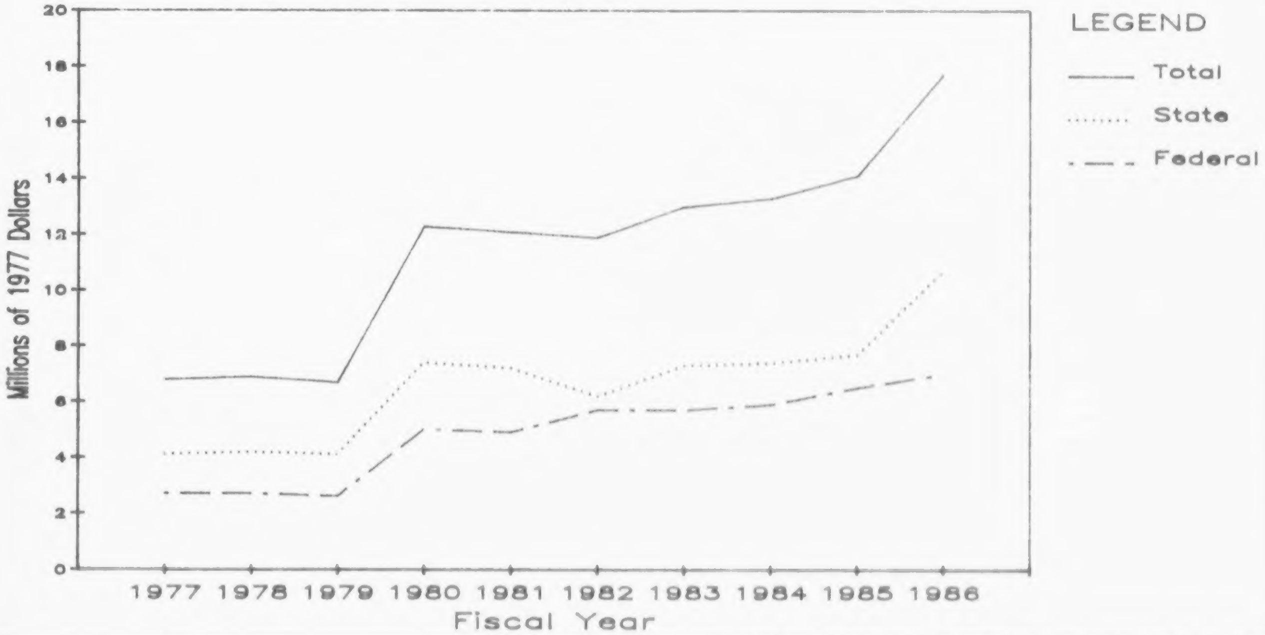
Average Daily Residents in Institutions



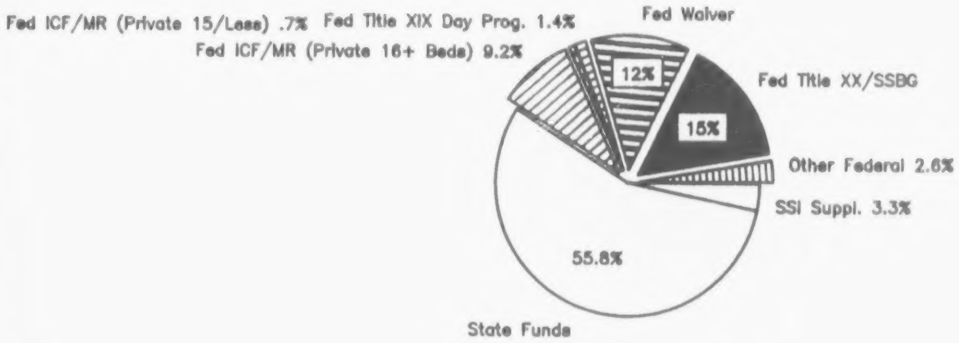
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

OREGON

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

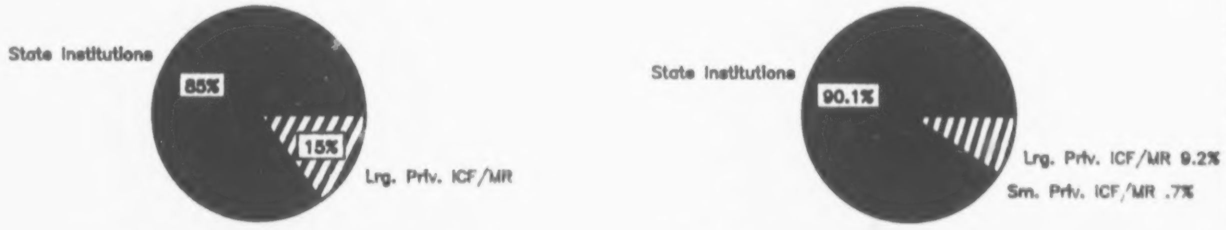


FY 1986 Total Funds: $32.2 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

OREGON

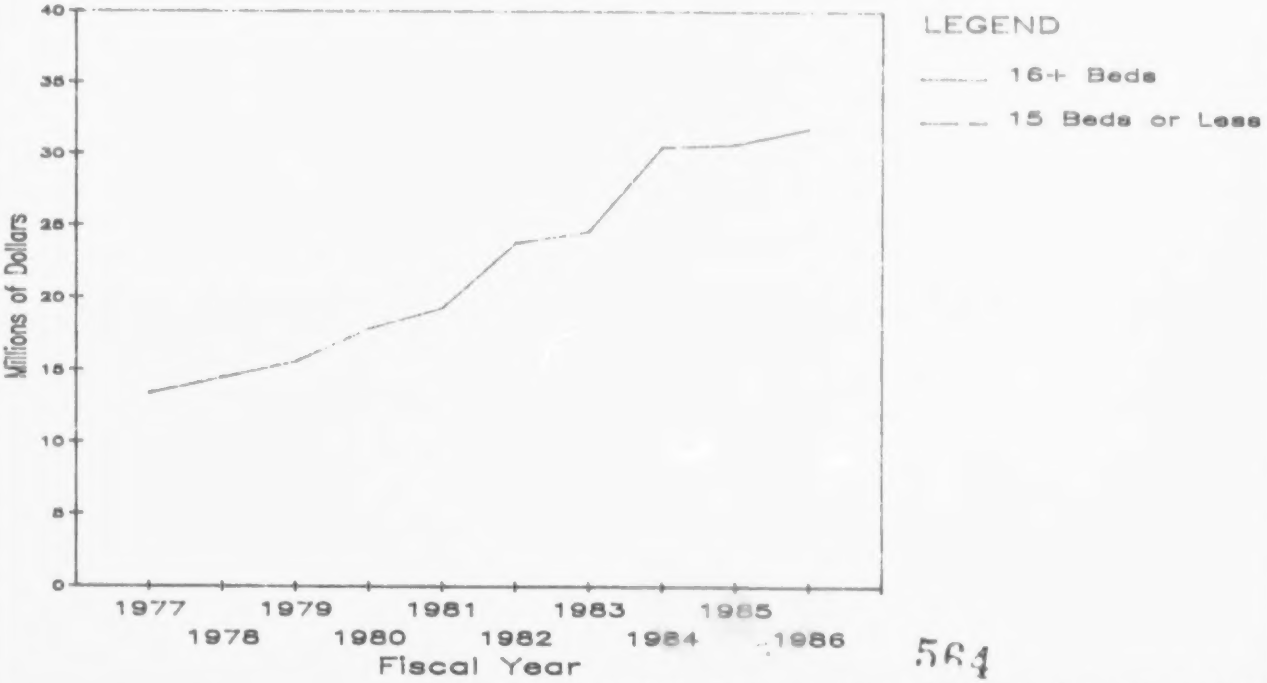
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $13.4 Million

FY 1986 Total Federal Funds: $32 Million

By Facility Size, FY 1977–86



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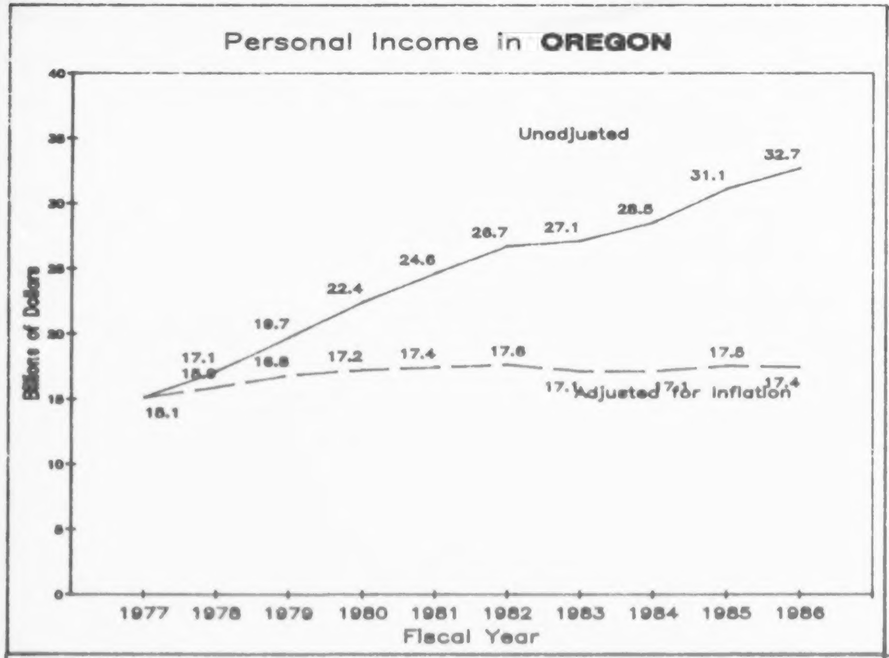
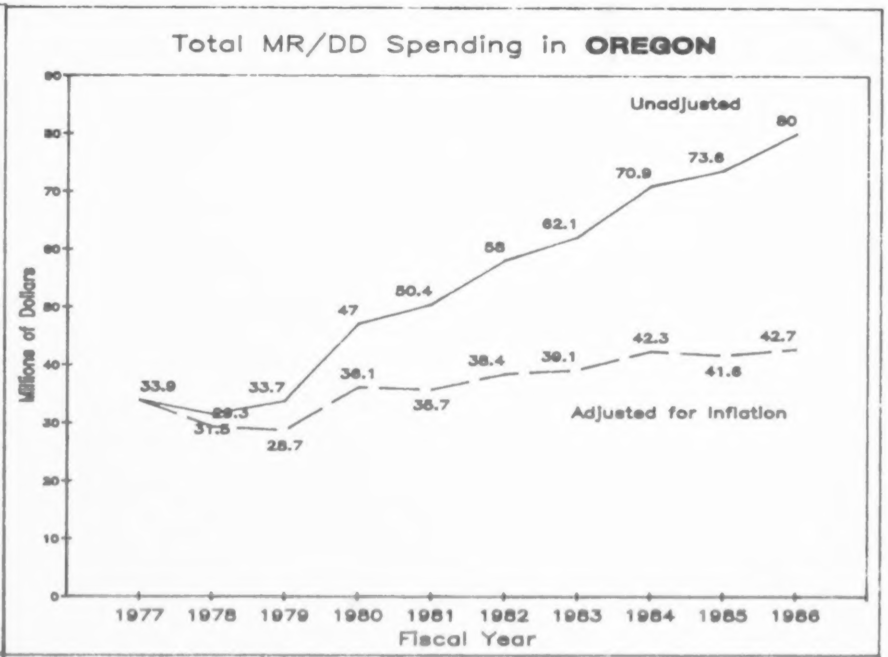
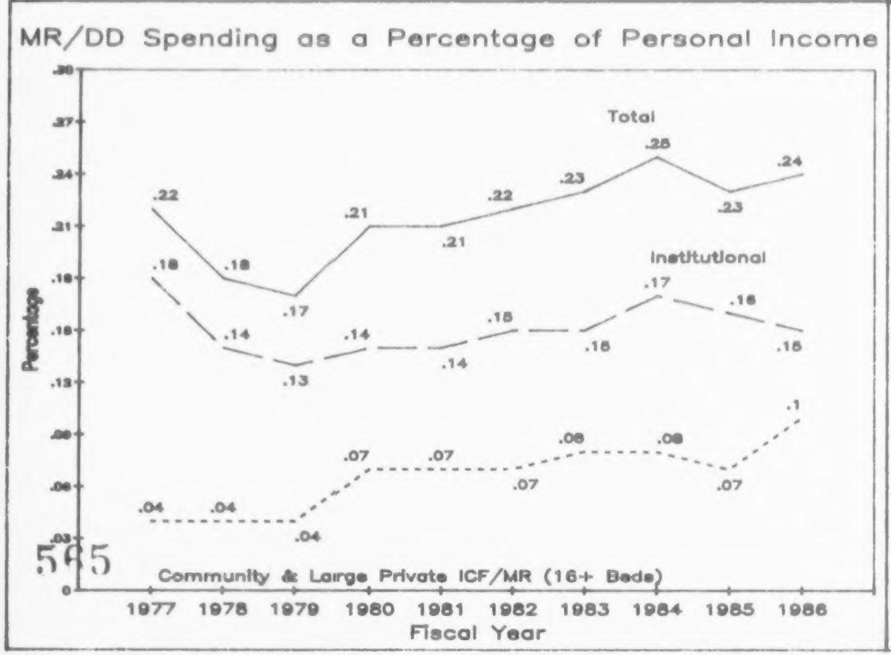
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



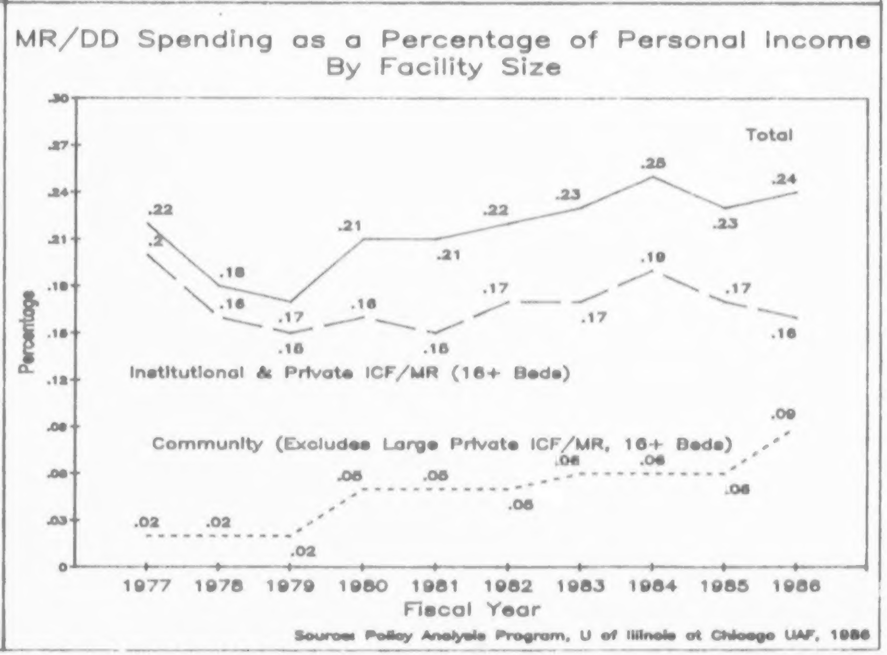
Personal Income in **OREGON**



Total MR/DD Spending in **OREGON**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

OREGON 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	42,939,000	41,117,000	44,134,000	58,734,000	64,643,000	74,124,000	79,738,000	90,648,300	94,485,200	103,462,100
TOTAL INSTITUTIONAL/COMMUNITY	33,874,000	31,499,000	33,707,000	47,007,000	50,381,000	58,049,000	62,128,000	70,852,300	73,645,200	80,030,100
STATE FUNDS	19,309,000	15,914,000	17,019,000	24,666,000	26,376,000	28,113,000	30,995,000	33,169,100	34,260,300	37,886,400
General Funds	18,544,000	15,150,000	16,211,000	23,818,000	25,486,000	26,955,000	29,327,000	31,435,100	32,426,300	36,837,400
SSI State Supplement	765,000	764,000	808,000	848,000	890,000	1,158,000	1,668,000	1,734,000	1,834,000	1,049,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	14,565,000	15,585,000	16,688,000	22,341,000	24,005,000	29,936,000	31,133,000	37,683,200	39,384,900	42,143,700
Title XIX Funds	13,409,000	14,542,000	15,561,000	17,901,000	19,254,000	24,847,000	27,223,000	35,501,200	34,815,800	36,324,400
Title XX / SSBG Funds	0	0	0	2,739,000	2,931,000	3,025,000	2,141,000	279,800	2,688,300	4,825,200
Other Federal Funds	1,156,000	1,043,000	1,127,000	1,701,000	1,820,000	2,064,000	1,769,000	1,902,200	1,880,800	994,100
INSTITUTIONAL SERVICES FUNDS	27,166,000	24,142,000	25,845,000	31,032,000	33,304,000	40,094,000	41,520,000	48,684,200	48,719,100	47,872,100
STATE FUNDS	15,252,000	11,437,000	12,238,000	15,146,000	16,206,000	18,786,000	19,473,000	20,885,100	20,797,700	18,881,000
General Funds	15,252,000	11,437,000	12,238,000	15,146,000	16,206,000	18,786,000	19,473,000	20,885,100	20,797,700	18,881,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	11,914,000	12,705,000	13,607,000	15,886,000	17,098,000	21,308,000	22,047,000	27,799,100	27,921,400	28,991,100
Federal ICF/MR	11,398,000	12,390,000	13,258,000	15,436,000	16,616,000	21,024,000	21,792,000	27,521,700	27,704,400	28,840,100
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	516,000	315,000	349,000	450,000	482,000	284,000	255,000	277,400	217,000	151,000
COMMUNITY WITH FEDERAL INCOME MAINT	15,773,000	16,975,000	18,289,000	27,702,000	31,339,000	34,030,000	38,218,000	41,964,100	45,766,100	55,590,000
COMMUNITY SERVICES FUNDS	6,708,000	7,357,000	7,862,000	15,975,000	17,077,000	17,955,000	20,608,000	22,168,100	24,926,100	32,158,000
STATE FUNDS	4,057,000	4,477,000	4,781,000	9,520,000	10,170,000	9,327,000	11,522,000	12,284,000	13,462,600	19,005,400
General Funds	3,292,000	3,713,000	3,973,000	8,672,000	9,280,000	8,169,000	9,854,000	10,550,000	11,628,600	17,956,400
SSI State Supplement	765,000	764,000	808,000	848,000	890,000	1,158,000	1,668,000	1,734,000	1,834,000	1,049,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	2,651,000	2,880,000	3,081,000	6,455,000	6,907,000	8,628,000	9,086,000	9,884,100	11,463,500	13,152,600
ICF/MR Funds	2,011,000	2,152,000	2,303,000	2,465,000	2,638,000	2,823,000	2,831,000	2,975,400	2,975,400	3,175,900
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	215,200
Large Private	2,011,000	2,152,000	2,303,000	2,465,000	2,638,000	2,823,000	2,831,000	2,975,400	2,975,400	2,960,700
Other Title XIX Funds	0	0	0	0	0	1,000,000	2,600,000	5,004,100	4,136,000	4,308,400
Title XIX Day Programs	0	0	0	0	0	0	0	356,600	360,300	439,000
Waiver	0	0	0	0	0	1,000,000	2,600,000	4,647,500	3,775,700	3,869,400
Title XX / SSBG Funds	0	0	0	2,739,000	2,931,000	3,025,000	2,141,000	279,800	2,688,300	4,825,200
Other Federal Funds	640,000	728,000	778,000	1,251,000	1,338,000	1,780,000	1,514,000	1,624,800	1,663,800	843,100
FEDERAL INCOME MAINTENANCE	9,065,000	9,618,000	10,427,000	11,727,000	14,262,000	16,075,000	17,610,000	19,796,000	20,840,000	23,432,000
Suppl. Security Income (SSI)	5,973,000	6,182,000	6,420,000	6,969,000	8,287,000	9,425,000	10,430,000	12,375,000	13,674,000	14,765,000
Childhood Disability (SSDI)	3,092,000	3,436,000	4,007,000	4,758,000	5,975,000	6,650,000	7,180,000	7,421,000	7,166,000	8,667,000
F.F.P. Rate	59.04%	57.73%	57.29%	56.07%	55.66%	53.52%	52.81%	56.04%	57.12%	60.44%
Daily Institutional Population	1,873	1,788	1,718	1,680	1,622	1,648	1,622	1,550	1,488	1,356
Institutional Per Diem	39.74	36.99	41.22	50.47	56.25	66.65	70.13	85.82	89.70	96.72

PENNSYLVANIA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Community and institutional services are administered by the Office of Mental Retardation (OMR), in the Department of Public Welfare (DPW). Leadership of the OMR is provided by a Deputy Secretary.

Budget Format. The sections of the Governor's Executive budget that pertained to MR/DD services were formatted as follows:

- Department of Public Welfare
  - Mental Retardation Services
    - State Centers for the Mentally Retarded
      - State Funds
      - Federal Funds
      - Other Funds
    - Expenditures by Center
      - (each of the 11 centers listed separately with above fund sources)
    - Sources of Funds
      - Appropriations
      - Federal funds
        - Detailed listing of funds supplied by each federal program, such as CETA, Title XIX, ESEA, etc.
      - Other Funds
        - Listing of each source, such as cafeteria reimbursements, sale of reclaimable materials, institutional collections, etc.
    - Community Services for the Mentally Retarded
      - (same detailed funding breakdowns as under the State Centers)

Note on Data Sources. Actual and adjusted expenditure figures for FYs 1977-83 were obtained from the FYs 1979, 1980, 1982 and 1984 Governor's Executive budget documents. Actual FY 1984 expenditures were taken from the Department of Public Welfare's "Summary of Fiscal Activity: Fiscal Year 1983-84;" FY 1985 actual expenditures and FY 1986 estimated expenditures from appropriations were obtained from the Department of Public Welfare's "Budget Request for the Fiscal Year 1986-87." The average daily institutional census data for FYs 1977-83 were obtained from the budget documents; Sue Kells of the Office of Mental Retardation provided the FYs 1984-86 census data (p.c., telephone, 4/9/86).

In keeping with the general definitions of our analysis, central office administrative costs were excluded from the figures. In Pennsylvania, most central office administrative costs in the Department of Public Welfare were in the "General Government Operations" budgetary subdivision.

Capital construction costs were also excluded in this analysis. The state's capital construction budget was contained within the General State Authority's (GSA) budget. Each state agency, including the Office of MR, from FY 1979 to FY 1982, paid SGSA a rent or depreciation payment out of its operating budget to cover its share of interest payments on capital construction loans. These costs were included in the figures in our analysis. According to Sue Kells (p.c., telephone, 4/9/86), the agency ceased computing these costs after FY 1982. Exact figures for FYs 1979-82 were provided by Mrs. Pierce, OMR (p.c., telephone, 2/24/84).

Fiscal Year	Depreciation Payments ($ in thousands)
1979	$ 7,075
1980	6,960
1981	10,230
1982	10,764

II. INSTITUTIONAL SERVICES FUNDS

Institutional services in Pennsylvania were provided in eleven state MR Institutions and seven MR units in state mental hospitals. These were:

- Cresson/Altoona
- Ebensburg
- Hamburg
- Laurelton
- Pennhurst
- Polk
- Selinsgrove
- Western
- White Haven
- Embreeville
- Woodhaven
- Allentown MR Unit
- Clarks Summit MR Unit
- Mayview MR Unit
- Philadelphia MR Unit
- Somerset MR Unit
- Torrance MR Unit
- Wernersville MR Unit

Pennsylvania closed several institutions during the past few years including Marcy, Cresson and the Harrisburg MR Unit. Pennhurst State School and Hospital, which has been the focus of the country's most publicized DD rights litigation, was also in the process of closing.

State General Funds. In FY 1984, Medicaid funds became available for community-based services through limited waivers. New services under the program were financed by the transfer of funds from the state centers. OMR had requested the state Legislature to lower or restrict growth of the appropriation for Pennhurst in anticipation of moving residents out of the facility. At the same time, OMR requested the Legislature to transfer those savings in state funds to community MR programs rather than elsewhere in the state budget. Therefore, state institution funds were moved to the community programs budget and in turn earned or "drew down" federal Title XIX funds under the Medicaid Waiver program (p.c., telephone, Paul Hindman, Bureau of Planning and Resource Allocation, DPW, 2/27/84). Because of the savings in per diem costs in community settings when compared to Pennhurst, the state expected to be able to place additional clients at home or elsewhere in the community, and yet expend no "new" state money. (OMR termed the budget transfer the "Medicaid community transfer.") The state planned to place an additional 500 institutional residents into the community under the Waiver program in FY 1987.

Other State Funds were labeled "Other Funds" in the budget documents. They represented revenue from such sources as cafeteria reimbursements, and institutional collections (private pay, insurance, etc.).

Federal ICF/MR. The Federal share of Title XIX ICF/MR funds were identified under Federal Funds (entitled "Medical Assistance") in the budget documents starting in FY 1980. Prior to then, MH and MR receipts under "Medical Assistance" were combined. Therefore, for FYs 1977-79, we used the ICF/MR figures supplied by Pennsylvania on the HCFA Form 20-82 which was submitted to the HCFA/Office of Financial & Actuarial Analysis/Medicaid Statistics Branch. These figures were unadjusted expenditures by date of service.

Other Federal Funds for FYs 1977-83 were the remainder of the amount recorded in the Budget document under "Federal Funds" after the ICF/MR amount was subtracted. These funds represented small federal programs including Chapter I ESEA, Child Nutrition, and Library Service. For FY 1977, the average of Other Federal Funds was utilized. The budget documents in the FYs 1984-86 period specified the amounts for each of these federal revenue sources.

III. COMMUNITY SERVICES FUNDS

Community services were reflected in the "Community Services for the Mentally Retarded" section of the State Budget.

In FYs 1977-79, community services for MR and MI clients were combined into one figure in the Budget. To estimate what portion was for MR clients only, the percentage that MR Community Services comprised of the total MR and MI community services in later years when they were reported separately, was calculated. In FY 1980, MR was 63%; in FY 1981 MR was 66%. The average of these percentages (64.5%) was applied to total MR & MI community expenditures for FYs 1977-79. J. Howse, Deputy Secretary for MR, (p.c., telephone, 11/15/83) indicated this method produced a reasonable representation of estimated commmunity services expenditures.

Other State Funds included small sums for the "PASS Program--tuition and book fees"; in FY 1982, "Elwyn Institute--Collections;" and in FY 1986, "Lottery Funds" and miscellaneous revenues that appear in the ICFMR section of the budget.

Private ICF/MR. According to David Smith, Director, Office of Program and Policy Development, DPW (p.c., telephone, 8/24/83), there were no state-run community-based ICFs/MR--only privately-run facilities. (There were county-run ICF/MRs, but the expenditures for these were combined with the expenditures for the private facilities.) Private ICF/MR reimbursements were recorded in the OMR budget for community services.

Smith reported that the private ICFs/MR began in FY 1978, at which time they were reimbursed directly by the State Medicaid Agency as general nursing homes (not ICFs/MR). In FY 1982, these facilities were transferred to the OMR budget and at that time an estimate was made of the expenditures for the two previous years (FY 1980 and FY 1981), and recorded in the Budget. Expenditures were presented in our analysis for private ICFs/MR from FY 1980. FY 1978 and FY 1979 data were absent because Pennsylvania's private ICF/MR expenditures were combined in those years with all General ICF expenditures. The sums involved in FY 1978 and FY 1979 were probably less than $15 million per year, according to Smith.

The Pennsylvania budget provided ICF/MR expenditures broken out by facility size (15-bed or less vs. 16 beds-or larger) from FY 1980 to FY 1984. Subsequent to FY 1984 however, all ICF/MR funding was collapsed into a single category. The Office of MR could not provide exact funding estimates for the categories without reviewing all reimbursements to all facilities receiving ICF/MR funds (p.c., telephone, Frank Pierce, 3/31/86). Therefore, FYs 1985-86 expenditures for the two size classifications were estimated by applying the funding projections for these two years (contained in the FY 1984 budget) to compute estimated proportional spending. The proportions were applied to actual expenditures reported in the FYs 1984-86 budget documents.

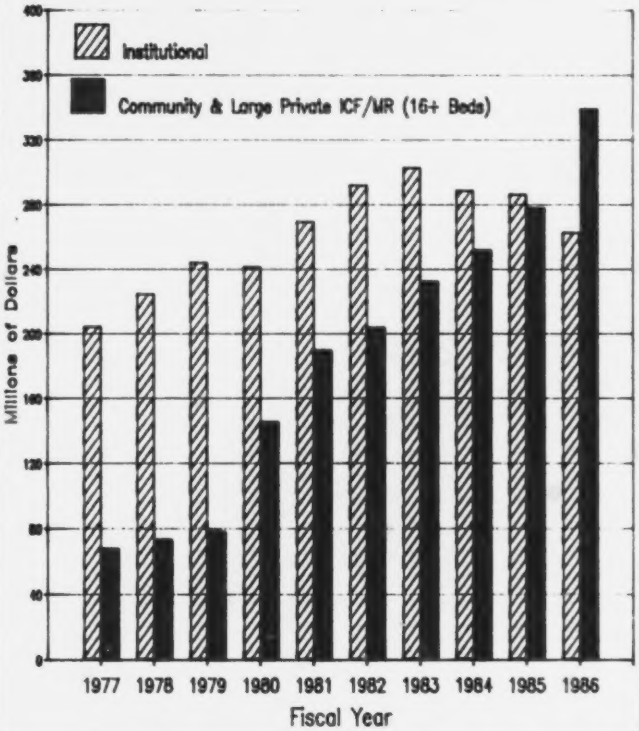
Title XIX Waiver. In FY 1984, federal Medicaid funds became available for community non-residential and residential programs through limited waivers. By FY 1986, 629 clients including 599 residents previously living in state centers and 30 community-based clients were placed with the program. The department received approval to operate two additional waivers covering counties in the Northeast and Central regions of the state in FY 1986. Waiver-funded services for the Western region are anticipated to be implemented in FY 1988 (Source: Budget documents).

Federal Title XX/SSBG expenditures for FY 1979 were estimated, based on the share that MR expenditures comprised of the total community expenditures (64.5%). That same percentage was applied to the total (MR and MI combined) Title XX expenditures for FY 1979. FYs 1980-86 figures were taken from the Budget documents. There were no Title XX funds expended for community services for FYs 1977-78 (p.c., telephone, J. Howse, 11/15/83).

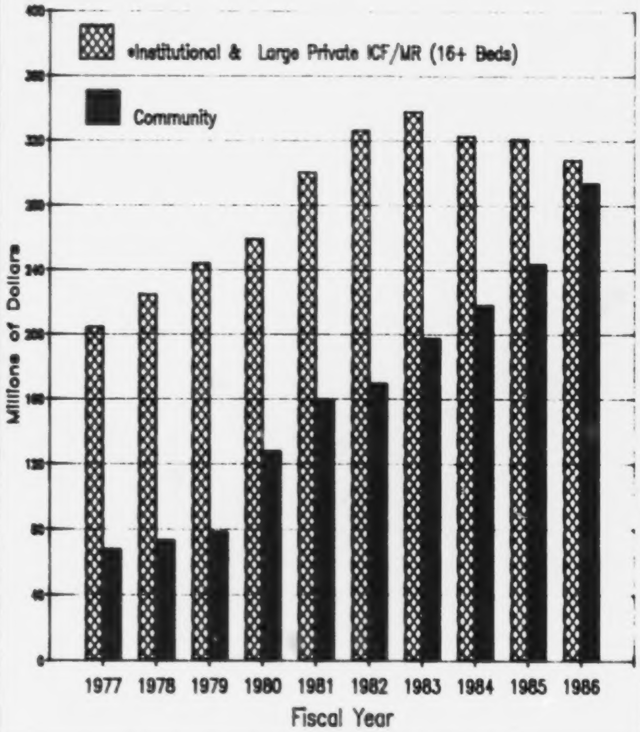
Other Federal Funds in FYs 1977-79 were DDSA funds, which, after FY 1979 were displayed elsewhere in the Budget. In FY 1983 and FY 1984, the funds recorded in this line were labeled "mainstreaming demonstration grant" in the State Budget.

PENNSYLVANIA

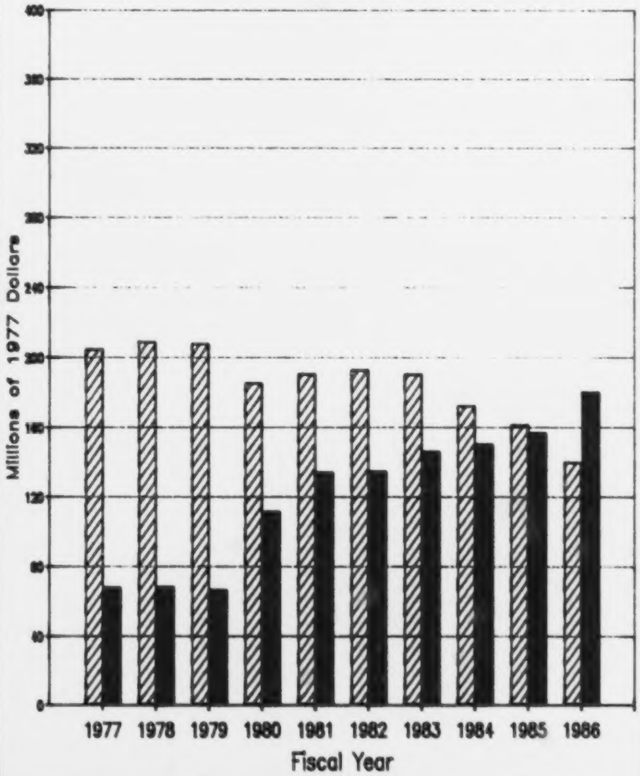
MR/DD Expenditures for *Institutional* & *Community* Services



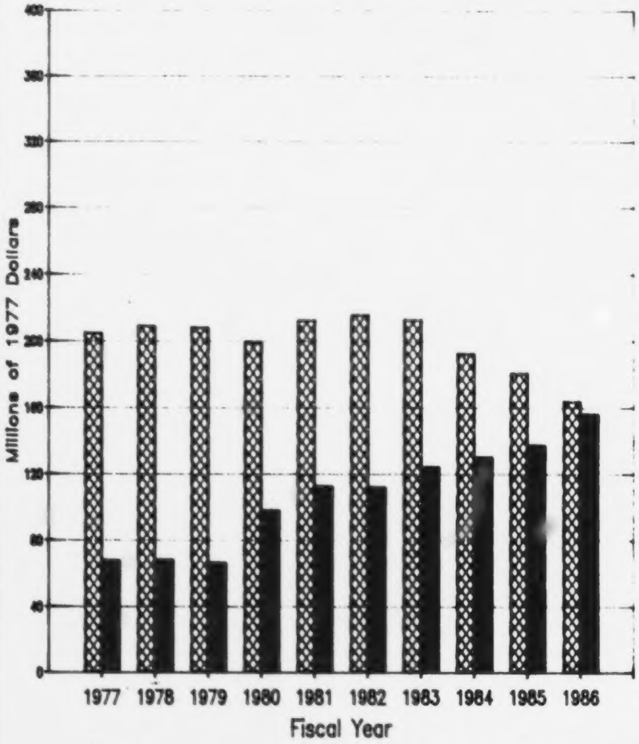
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



Adjusted for Inflation



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Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

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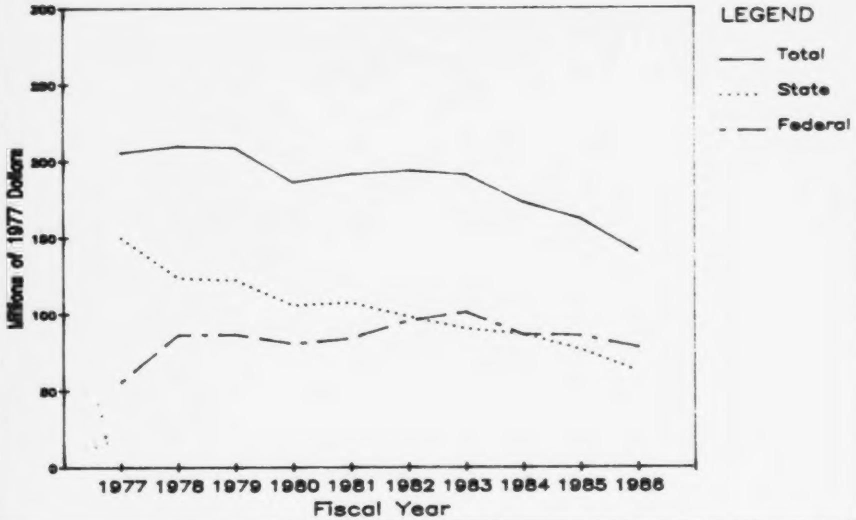
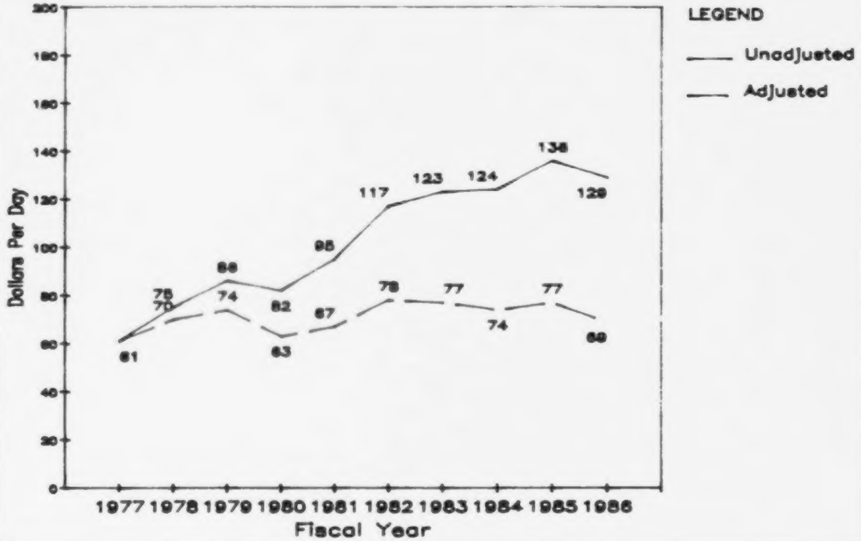
Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

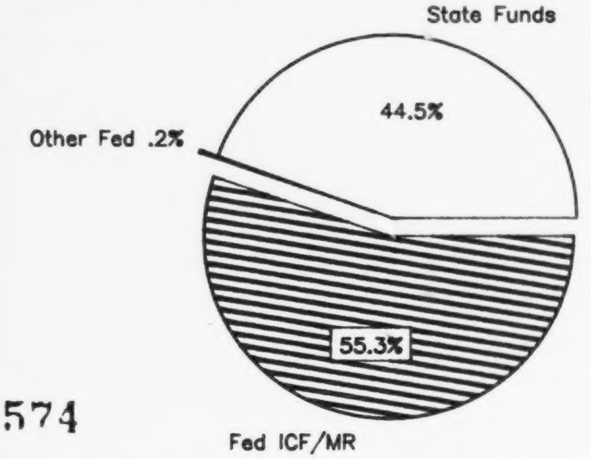


PENNSYLVANIA

Institutional Per Diem Costs: FY 1977–86

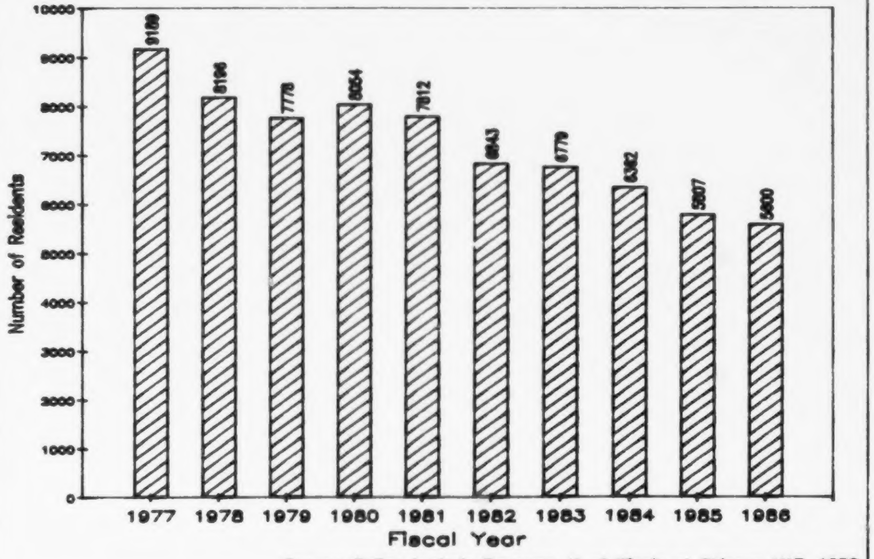


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $263.5 Million

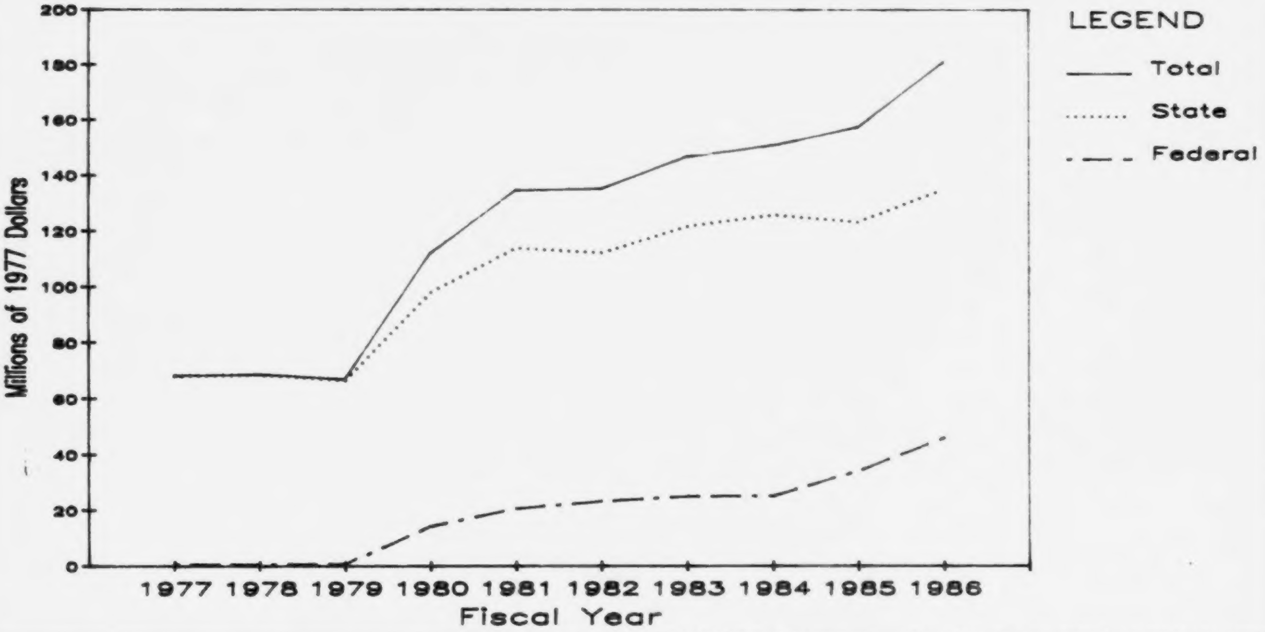
Average Daily Residents in Institutions



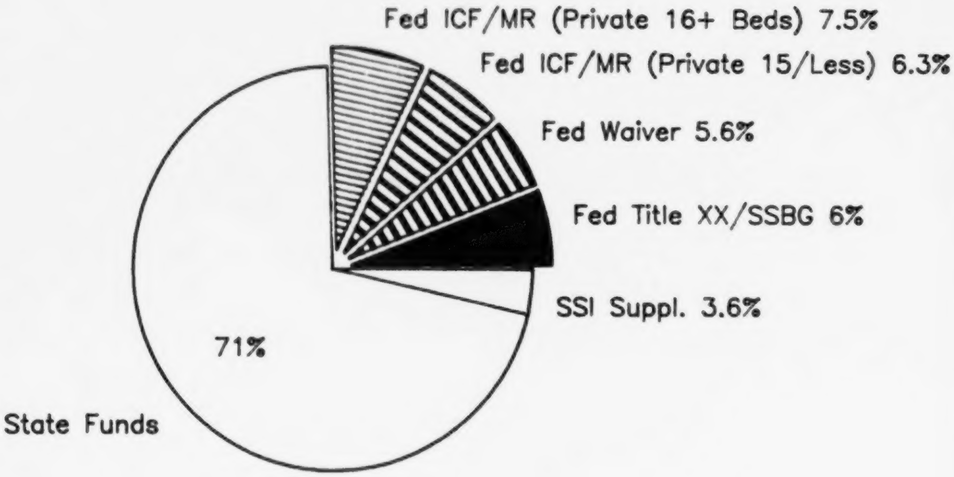
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

PENNSYLVANIA

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $339.5 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

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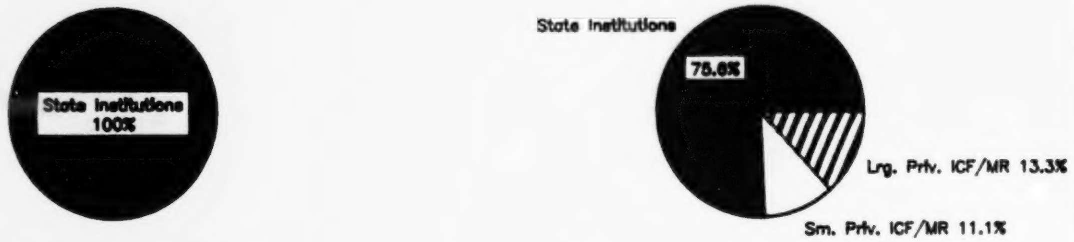
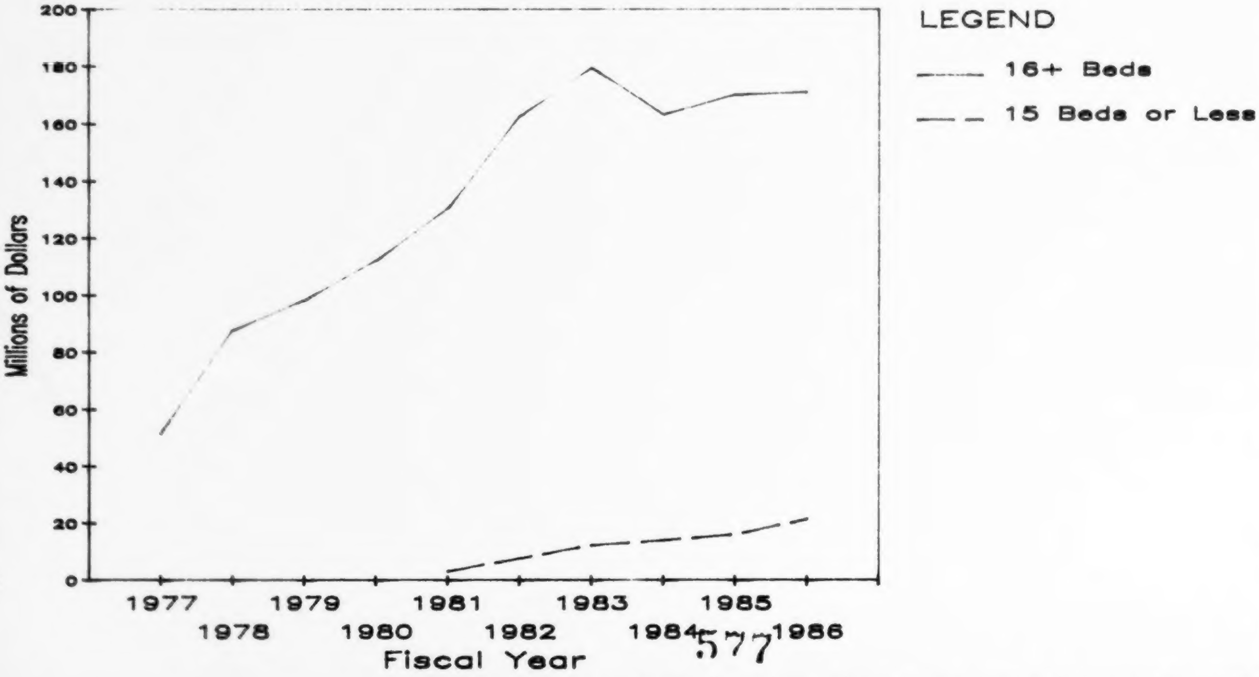
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



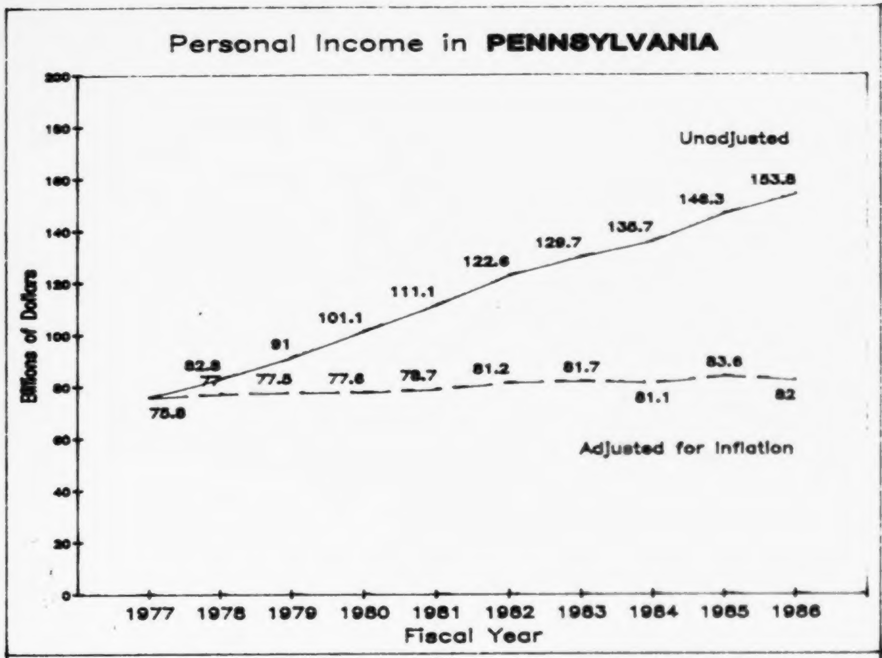
FY 1977 Total Federal Funds: $51.7 Million

FY 1986 Total Federal Funds: $192.6 Million

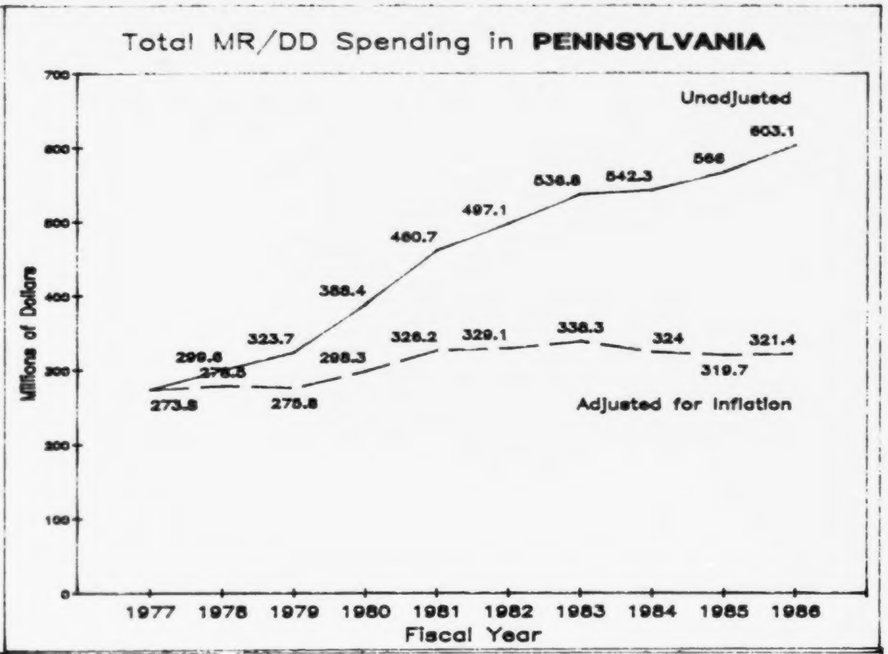
By Facility Size, FY 1977–86



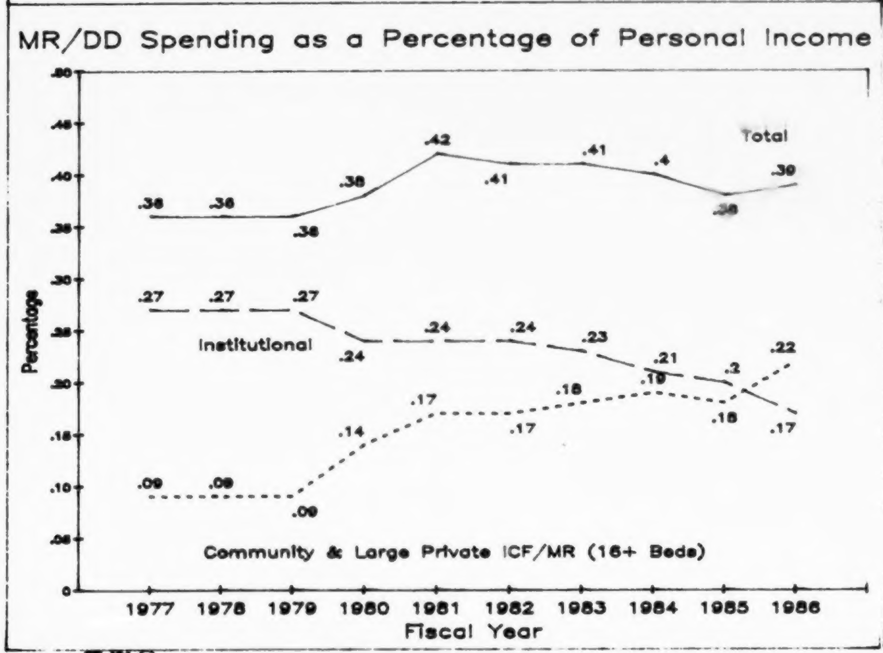
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



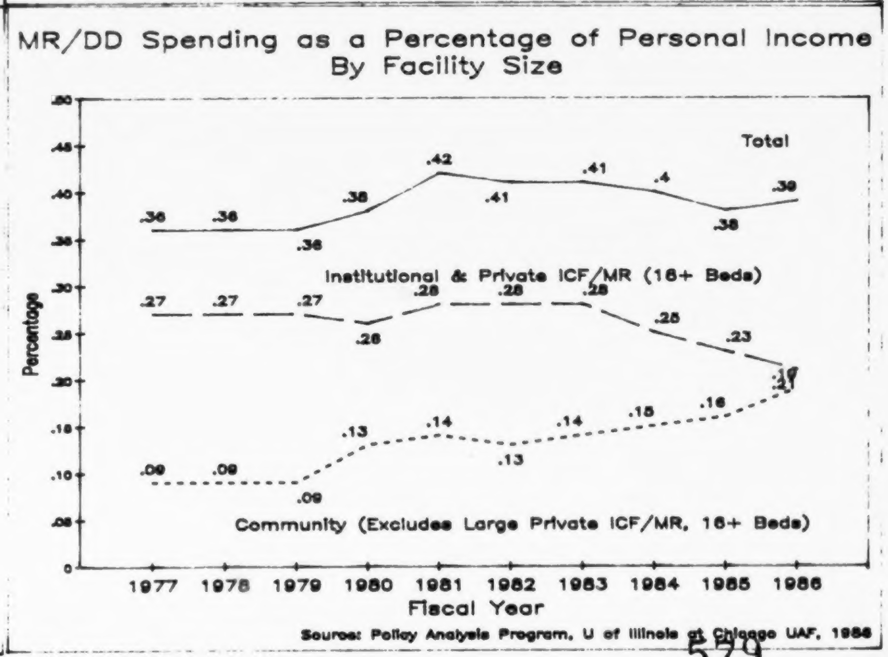
Personal Income in **PENNSYLVANIA**



Total MR/DD Spending in **PENNSYLVANIA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

PENNSYLVANIA 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	330,928,000	363,294,000	394,503,000	471,344,000	555,610,000	603,334,000	650,068,000	665,961,476	705,082,000	750,028,000
TOTAL INSTITUTIONAL/COMMUNITY	273,796,000	299,567,000	323,666,000	388,433,000	460,688,000	497,108,000	536,848,000	542,253,476	566,001,000	603,058,000
STATE FUNDS	217,627,000	206,238,000	221,139,000	264,987,000	312,995,000	317,714,000	336,660,000	355,407,300	354,006,000	370,604,000
General Funds	204,859,000	192,024,000	202,736,000	240,940,000	296,560,000	298,474,000	314,500,000	329,672,900	328,936,000	342,817,000
SSI State Supplement	9,039,000	9,405,000	9,532,000	9,566,000	9,603,000	9,600,000	10,991,000	10,983,000	11,618,000	12,217,000
Other State Funds	3,729,000	4,809,000	8,871,000	14,481,000	6,832,000	9,640,000	11,169,000	14,751,400	13,452,000	15,570,000
FEDERAL FUNDS	56,169,000	93,329,000	102,527,000	123,446,000	147,693,000	179,394,000	200,188,000	186,846,176	211,995,000	232,454,000
Title XIX Funds	51,699,000	87,856,000	98,406,000	112,418,000	133,809,000	170,539,000	191,649,000	178,990,476	191,006,000	211,481,000
Title XX / SSBG Funds	0	0	465,000	8,951,000	9,234,000	8,170,000	7,620,000	7,400,000	20,362,000	20,362,000
Other Federal Funds	4,470,000	5,473,000	3,656,000	2,077,000	4,650,000	685,000	919,000	455,700	627,000	611,000
INSTITUTIONAL SERVICES FUNDS	205,423,000	225,558,000	244,988,000	242,334,000	270,322,000	292,628,000	303,604,000	289,591,000	287,206,000	263,509,000
STATE FUNDS	149,724,000	132,717,000	143,334,000	137,569,000	151,775,000	148,308,000	143,167,000	144,945,300	135,537,000	117,246,000
General Funds	145,996,000	127,909,000	134,464,000	123,089,000	144,945,000	138,743,000	132,000,000	130,193,900	122,661,000	104,860,000
Other State Funds	3,728,000	4,808,000	8,870,000	14,480,000	6,830,000	9,565,000	11,167,000	14,751,400	12,876,000	12,386,000
FEDERAL FUNDS	55,699,000	92,841,000	101,654,000	104,765,000	118,547,000	144,320,000	160,437,000	144,645,700	151,669,000	146,263,000
Federal ICF/MR	51,699,000	87,856,000	98,406,000	102,688,000	113,897,000	143,635,000	159,649,000	144,366,000	151,042,000	145,652,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	4,000,000	4,985,000	3,248,000	2,077,000	4,650,000	685,000	788,000	279,700	627,000	611,000
COMMUNITY WITH FEDERAL INCOME MAINT	125,505,000	137,736,000	149,515,000	229,010,000	285,288,000	310,706,000	346,464,000	376,370,476	417,876,000	486,519,000
COMMUNITY SERVICES FUNDS	68,373,000	74,009,000	78,678,000	146,099,000	190,366,000	204,480,000	233,244,000	252,662,476	278,795,000	339,549,000
STATE FUNDS	67,903,000	73,521,000	77,805,000	127,418,000	161,220,000	169,406,000	193,493,000	210,462,000	218,469,000	253,358,000
General Funds	58,863,000	64,115,000	68,272,000	117,851,000	151,615,000	159,731,000	182,500,000	199,479,000	206,275,000	237,957,000
SSI State Supplement	9,039,000	9,405,000	9,532,000	9,566,000	9,603,000	9,600,000	10,991,000	10,983,000	11,618,000	12,217,000
Other State Funds	1,000	1,000	1,000	1,000	2,000	75,000	2,000	0	576,000	3,184,000
FEDERAL FUNDS	470,000	488,000	873,000	18,681,000	29,146,000	35,074,000	39,751,000	42,200,476	60,326,000	86,191,000
ICF/MR Funds	0	0	0	9,730,000	19,912,000	26,904,000	32,000,000	33,072,376	35,422,000	46,970,000
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	3,107,000	7,642,000	12,157,000	14,048,800	16,143,700	21,406,700
Large Private	0	0	0	9,730,000	16,805,000	19,262,000	19,843,000	19,023,576	19,278,300	25,563,300
Other Title XIX Funds	0	0	0	0	0	0	0	1,552,100	4,542,000	18,859,000
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	1,552,100	4,542,000	18,859,000
Title XX / SSBG Funds	0	0	465,000	8,951,000	9,234,000	8,170,000	7,620,000	7,400,000	20,362,000	20,362,000
Other Federal Funds	470,000	488,000	408,000	0	0	0	131,000	176,000	0	0
FEDERAL INCOME MAINTENANCE	57,132,000	63,727,000	70,837,000	82,911,000	94,922,000	106,226,000	113,220,000	123,708,000	139,081,000	146,970,000
Suppl. Security Income (SSI)	39,471,000	44,100,000	47,952,000	55,733,000	60,792,000	68,243,000	72,209,000	81,320,000	90,630,000	97,465,000
Childhood Disability (SSDI)	17,661,000	19,627,000	22,885,000	27,178,000	34,130,000	37,983,000	41,011,000	42,388,000	48,451,000	49,505,000
F.F.P. Rate	55.39%	55.18%	55.11%	55.13%	55.14%	56.37%	56.78%	56.23%	56.04%	56.72%
Daily Institutional Population	9,189	8,196	7,778	8,054	7,812	6,843	6,779	6,362	5,807	5,600
Institutional Per Diem	61.25	75.40	86.29	82.21	94.80	117.16	122.70	124.37	135.50	128.92

RHODE ISLAND

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The Division of Mental Retardation is within the Department of Mental Health, Mental Retardation, and Hospitals. Within the Division of MR, there are: a) the Office of Assistant Director which includes administration and expenditures for some community programs, such as early intervention and respite care; b) the Community Services Program, which includes residential and social/developmental services; and c) the Ladd Center Programs. The Ladd Center is the only state MR institution, and over the past ten years there has been a significant decrease in the population, and a corresponding increase in the number of community residences; the state has transferred employees from the institution to the community settings.

Budget Format. The sections of the budget pertaining to MR were formatted as follows:

- Department of Mental Health, Retardation and Hospitals
  - Division of Mental Retardation
    - Office of Assistant Director
      - Program Data (positions, clients served, etc.)
      - Financing
        - State Funds
          - Balance Forward
          - Appropriations
        - Federal Grants
      - Expenditures by Object (personal services, operating expenses, debt service, etc.)
    - Residential Services
      - (same subdivisions as under Office of Assistant Director)
    - Dr. Joseph H. Ladd School
      - (same subdivisions as above)
    - Social and Developmental Services
      - (same subdivisions as above)

Beginning with the FY 1982 state budget, a new Community Services Program, was added. In FY 1983, the Residential Services and Social and Developmental Services programs were consolidated under the Community Services Program. Federal ICF/MR reimbursements for Community Services was shown under the category, Financing, as:

- Interdepartmental Transfer
  - State Funds
  - Federal Funds

Federal ICF/MR was shown as a non-add figure because expenditures were in the Department of Social and Rehabilitation Services--the single state agency for the administration of Title XIX (and ICF/MR).

Note on Data Sources. Actual expenditure figures were obtained from the FYs 1980, '82, and '84 State Budget documents. The FY 1984 appropriation figures (subsequently updated) were obtained from Paul Deblois, Fiscal Office, Division of MR (p.c., telephone, 9/14/83). The Ladd Center and Dorthea Dix Center expenditure and average daily population figures for FY 1984 and FY 1985 (actual) and for FY 1986 (projected based on appropriation) were provided by William Bartlett, Associate Administrator, Ladd Center, Division of Retardation, Department of Mental Health, Retardation and Hospitals (p.c., telephone, 5/21/86). The Dix Center was transferred to the Division of Retardation during FY 1983. See the detailed note below on the determination of community services expenditures for FYs 1984-86.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included the Ladd Center budget, less the community program line, and for FYs 1983-86, the Dorthea Dix Center. Dr. Robert Carl, Associate Director, Division of MR (p.c., telephone, 8/18/83) concurred that the community program line should be included under the community services component of our analysis. The community program line under the Ladd Center supported 14 small, state-run community-based ICFs/MR and a number of off-campus day programs for both Ladd Center and community residents. The Multi-Handicapped Unit line in the Ladd budget, however, which was an 80 bed state-run ICF/MR at a different location from the Ladd Center, was included under institutional services in this analysis.

State General Funds were determined by netting-out federal-share ICF/MR expenditures from sums of money appropriated for the Ladd Center and for the Multi-Handicapped Unit for FYs 1982-84 as State General Funds.

Federal ICF/MR. Funding levels at the Ladd Center were obtained from Anthony Barille, Assistant Director for Medical Services, Department of Social Rehabilitation Services (SRS), (p.c., telephone, 9/26/83).

Other Federal Funds were labeled "federal grants" in the state budget.

III. COMMUNITY SERVICES FUNDS

Community services consisted of: 1) the Community Program line from the Ladd Center; 2) Residential Services and Social and Developmental Services lines, appearing in the Budget documents from FYs 1977-82 only-- In FY 1983 these were combined into the Community Services Program; 3) the Community Services Program, which first appeared in the budget in FY 1979; and 4) a portion of the "Office of Assistant Director" budget line which was used for respite care and for coordinating early intervention services, and training through placement (p.c., telephone, Paul Deblois, Office of the Fiscal Administrator, Division of MR, 8/24/83).

The Community Program line item at the Ladd Center paid for day programs, group homes and ICF/MR-certified clusters of apartments in Section 8 housing.

Community services expenditure figures for FY 1984 and FY 1985 (actual) and for FY 1986 (projected based on appropriation) for programs funded out of the Division offices in Cranston and for private ICFs/MR were provided by Frank DiMaio, Administrator of Program Management, Division of Retardation (p.c., correspondence, 5/14/86). Additional expenditure figures from the Division of Retardation, community-services figures were available from two other sources. First, ICF/MR and other Title XIX revenue figures for the three years were provided by Anthony Barille, Department of Social and Rehabilitation Services (p.c., telephone, 4/23/86), including revenues for the staffed apartments, state-operated group homes and day programs operated out of the Ladd Center. These Federal revenue figures were $3,170.8, $3,972.9 and $4,558.6 thousand for FYs 1984-86, respectively.

In addition to these revenue figures from Barille, W. Bartlett (p.c., telephone, 5/21/86) provided expenditures for staffed apartments, for state-operated group homes, and for Community Care Waiver services initiated (in FY 1986) at the Ladd Center. Given these two sources of information, it was then possible to subtract Bartlett's figures (Federal share) from Barille's total Title XIX revenue figures, to arrive at the expenditure each year for Title XIX Day Programs operated out of Ladd Center. The following table summarizes the components of community services spending, using FY 1986 as an example (all $s in thousands):

Expenditure or Revenue Component	FY 1986 Amount
General Fund Reported by Division of Retardation (including Private ICF/MR State Match)	$17,595.5
Ladd Center Waiver Match	1,359.8
Ladd Center Group Home Match	1,259.7
Ladd Center Staffed Apartment Match	(shifted to Waiver)
Title XIX Day Program Match	849.1
Analysis Category GENERAL FUND	$21,064.1
FEDERAL FUNDS:	
Staffed Apartments	(shifted to Waiver)
State-operated Group Homes	$ 1,655.5
Analysis Category SMALL PUBLIC ICF/MR	$ 1,655.5
Analysis Category SMALL PRIVATE ICF/MR	$ 8,802.5
Analysis Category TITLE XIX DAY PROGRAM	$ 1,115.9
Division of Retardation Waiver	$ 773.9
Ladd Center Waiver	1,787.1
Analysis Category TITLE XIX WAIVER	$ 2,561.0
Analysis Category OTHER FEDERAL FUNDS	$ 109.6

State General Funds. Debt services (which covered the repayment of capital bond funds and interest) were included in the State General Fund component of our analysis for FYs 1977-84, ranging from $600 thousand to $1.2 million annually. Program funds which were included in our State General Fund component (transferred from the Office of Assistant Director) were:

State Fiscal Year	$ in thousands
1977	$ 181
1978	330
1979	559
1980	684
1981	914
1982	971
1983	667

Small Public ICF/MR. The state-operated group homes were initiated in FY 1985 (6 homes, 32 beds, $108/day) and two additional homes were opened during the week of 5/19/86. Also, previously included in this category were reimbursements in FY 1984 for 8 staffed apartments with 80 clients (per diem, $81/day), increasing to 10 apartments with 100 clients in FY 1985. In FY 1986, this program was shifted to the auspices of the Community Care Waiver.

Small Private ICF/MR. The state in FY 1984 had approximately 60 community-based privately-run ICFs/MRs. The facilities were paid directly by the Department of Social and Rehabilitation Services and the federal share was carried in the SRS budget. (Starting in FY 1980, the Federal funds for these private ICFs/MRs were also displayed, for information purposes only, in the Division of MR budget as non-add interdepartmental transfers.) The figures in this analysis for FYs 1977-83 were provided by Anthony Barille, SRS (p.c., telephone, 8/18/83). In FY 1986, there were 83 facilities, average size six beds.

Title XIX Day Program. The day programs consisted of an education building at the Ladd Center serving community-based individuals, two other facilities nearby, and a fourth facility on the other side of the state. With the declining role of the Ladd Center, these programs were gradually being phased out in lieu of privately-operated day training programs.

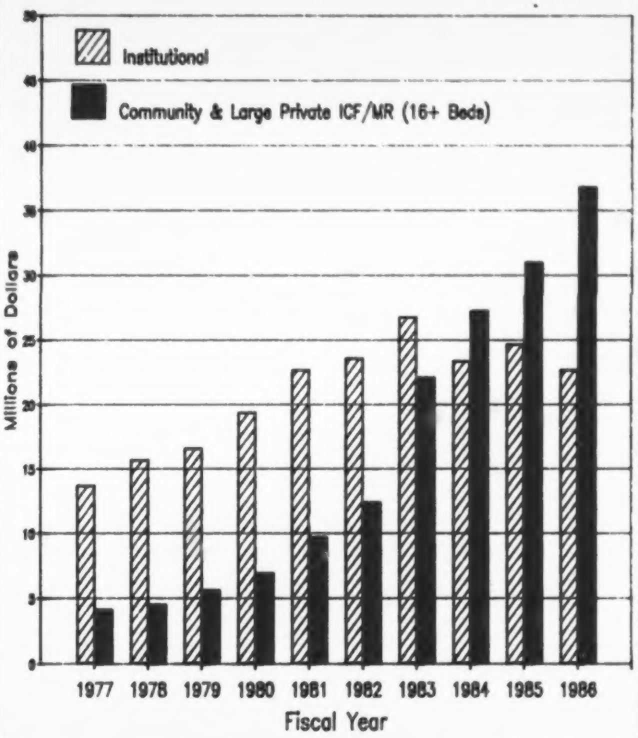
Waiver. This category included the reimbursement for staffed apartments (previously in our analysis category Small Public ICF/MR).

Federal Title XX/SSBG. According to Frank Dimaio, Fiscal Administrator, Division of MR (telephone interview, 8/18/83), there were no expenditures from Title XX funds for MR clients.

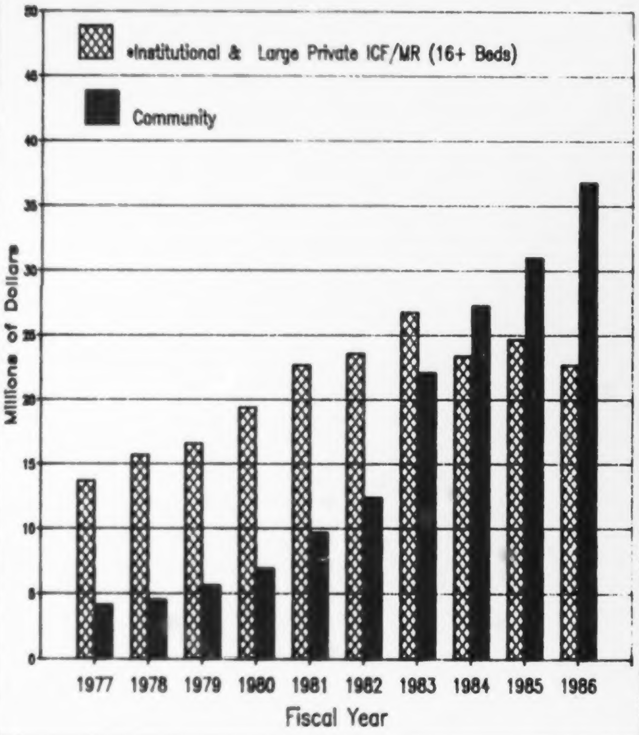
Other Federal Funds are P.L. 89-313 dollars that financed the early intervention program. No federal 89-313 funds were received in FY 1979 according to Paul Deblois (p.c., telephone, 1/31/84). In FY 1983, the State Department of Education ruled that the early intervention program could no longer qualify for 89-313 funds. The $34,000 which appeared in the FY 1983 State Budget represented only one quarter of payment prior to the program being terminated. The state has replaced the federal funding for this program with State General Fund expenditures.

RHODE ISLAND

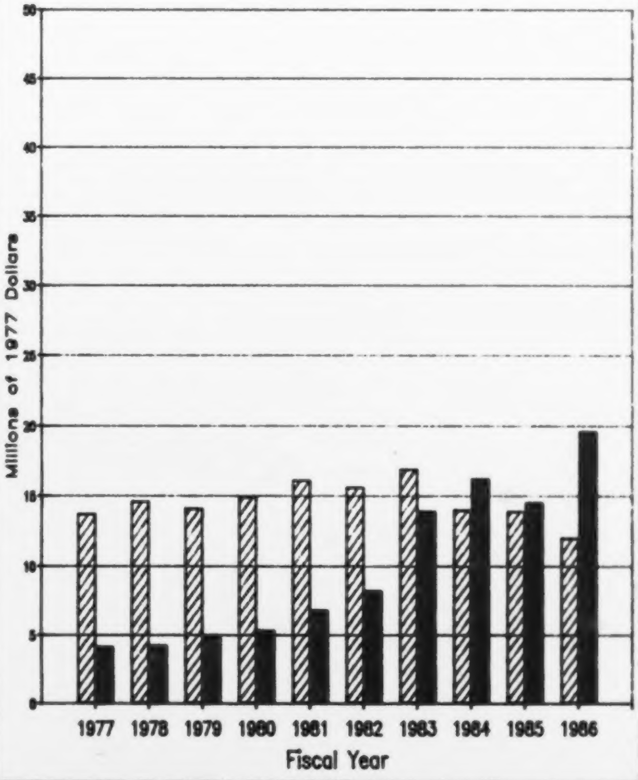
MR/DD Expenditures for *Institutional* & *Community* Services



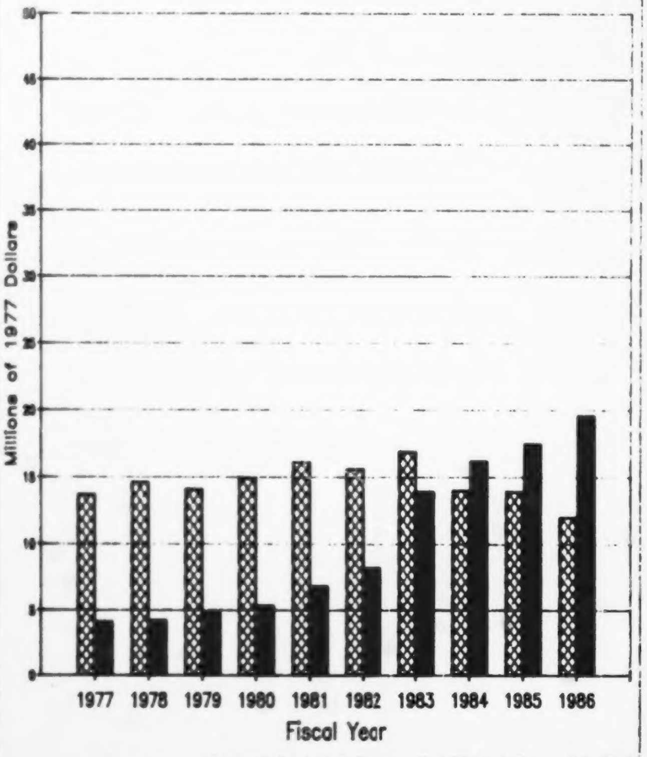
MR/DD Expenditures for Large Congregate* & Community Services



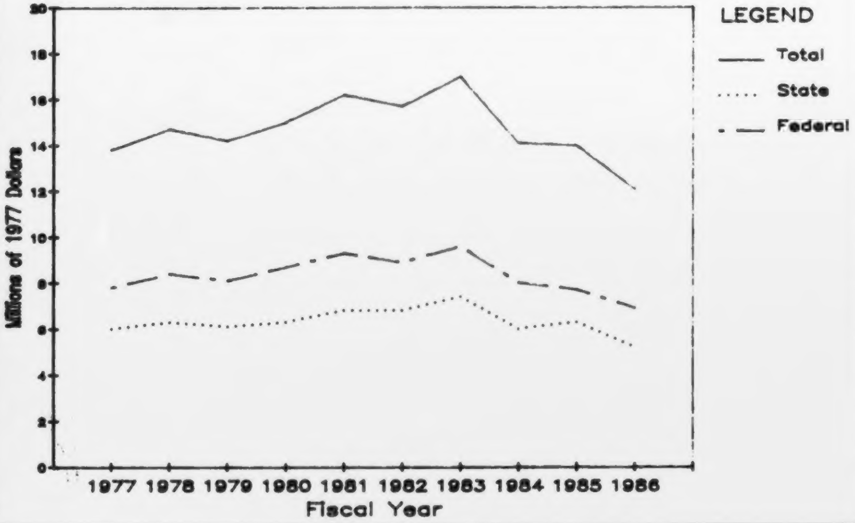
Adjusted for Inflation



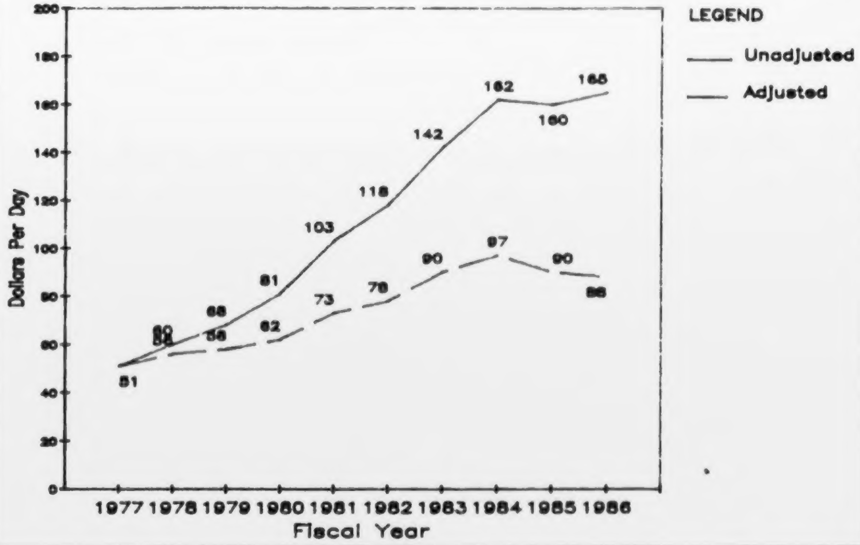
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

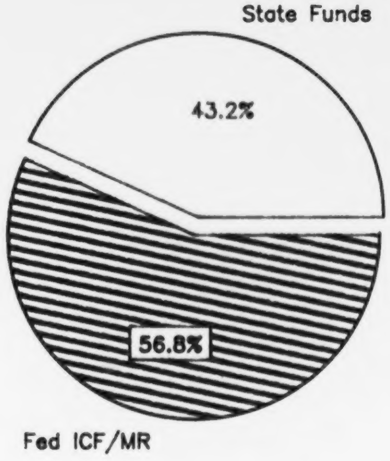

RHODE ISLAND

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86


RHODE ISLAND

Institutional Per Diem Costs: FY 1977–86

Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $22.8 Million

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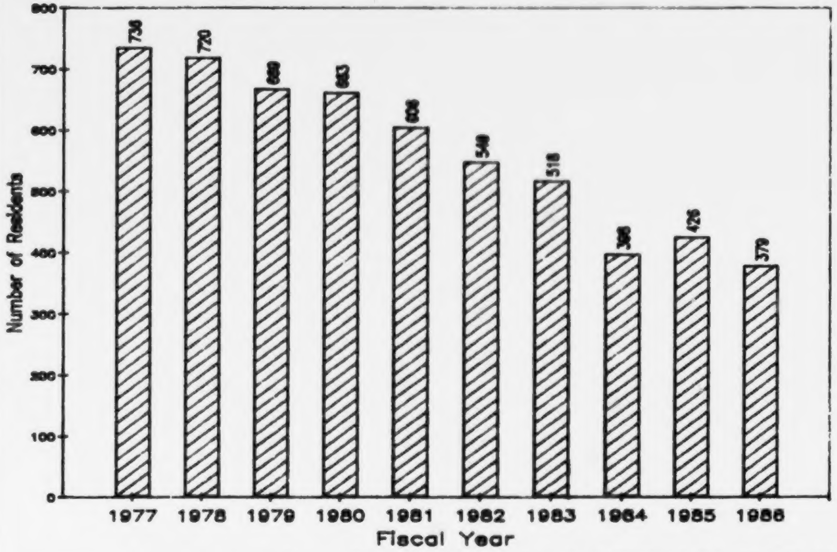
Average Daily Residents in Institutions



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

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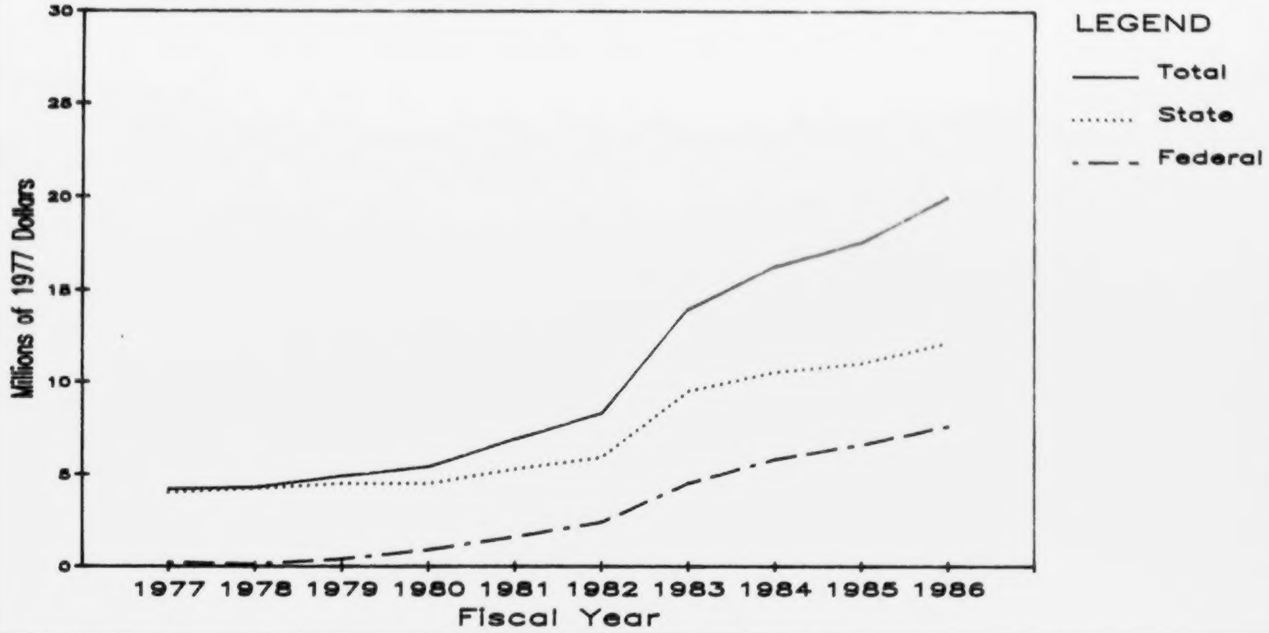
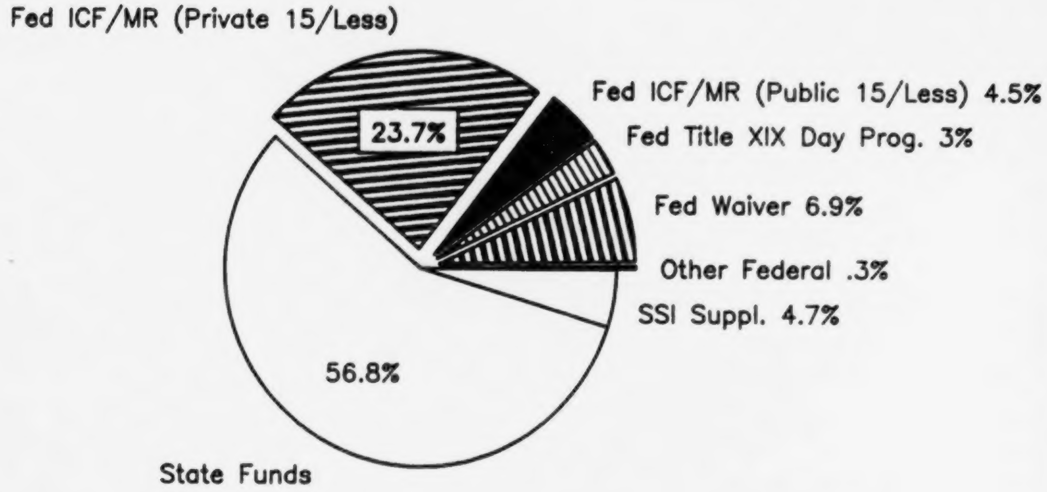
RHODE ISLAND

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)



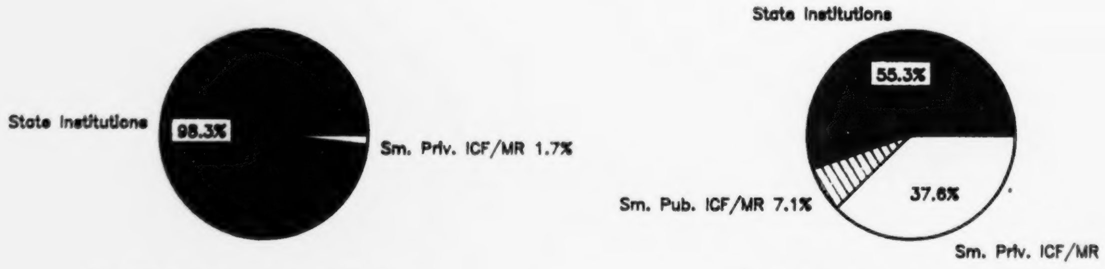
FY 1986 Total Funds: $37.1 Million

589

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

RHODE ISLAND

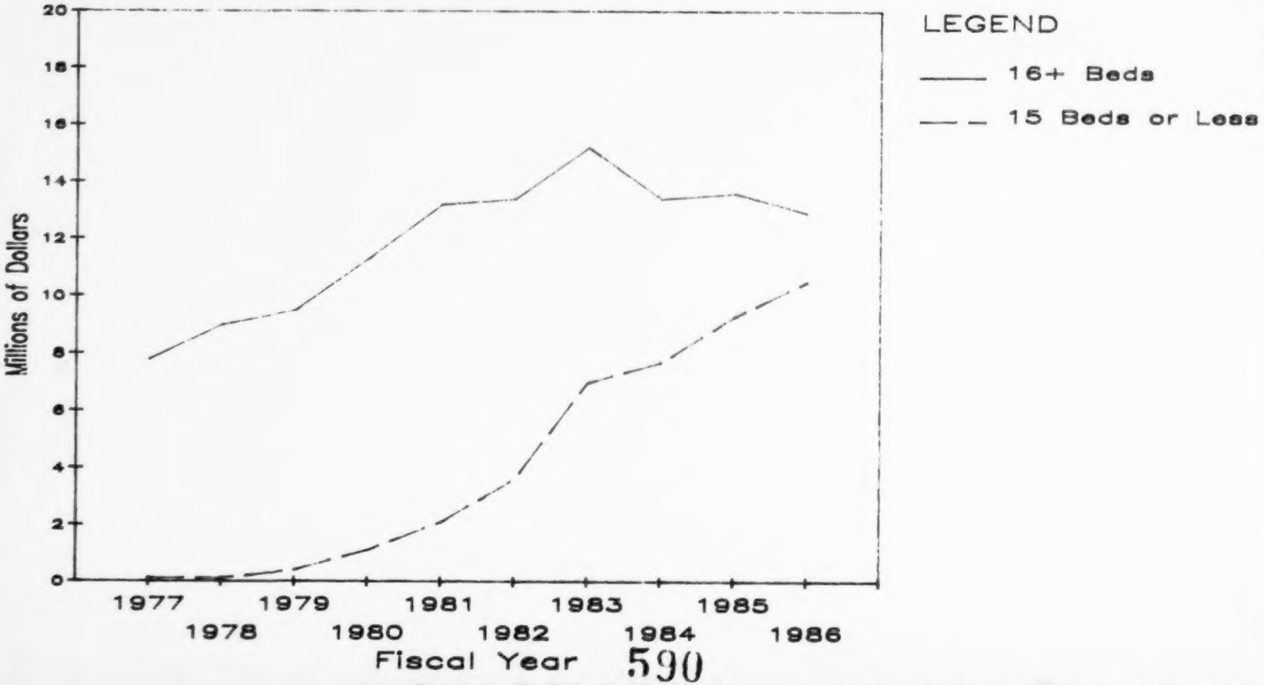
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



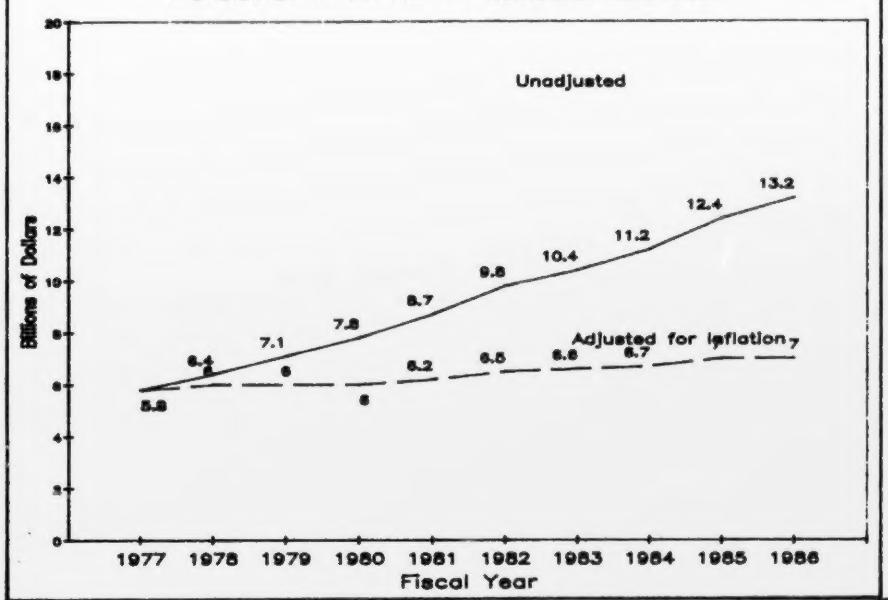
FY 1977 Total Federal Funds: $7.9 Million

FY 1986 Total Federal Funds: $23.4 Million

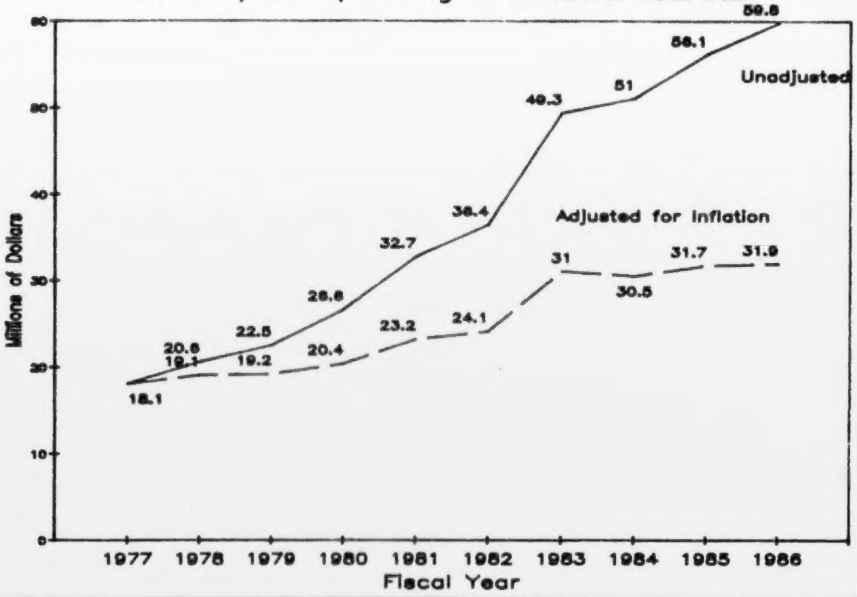
By Facility Size, FY 1977–86



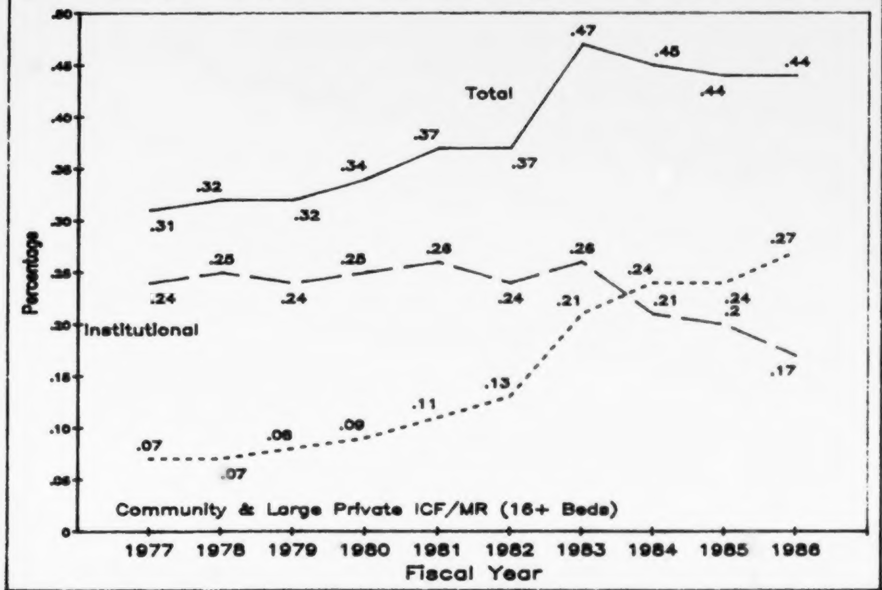
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



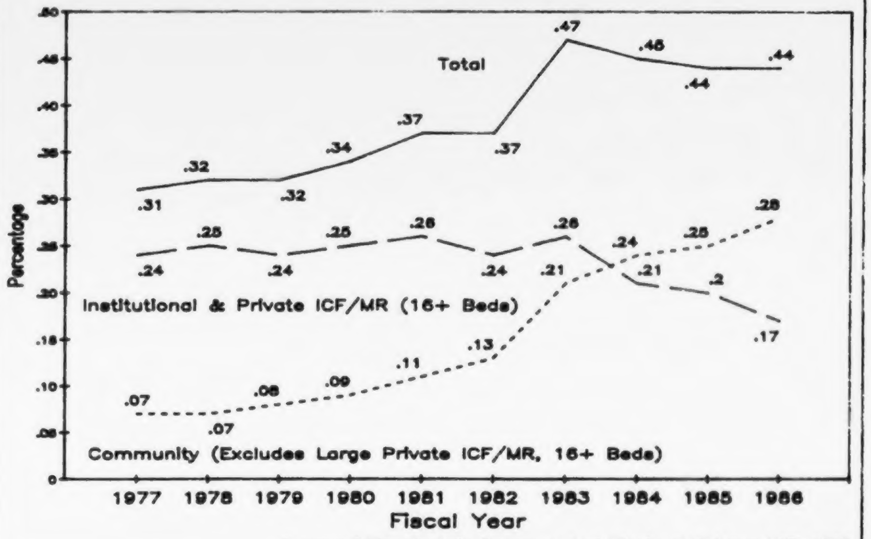
Personal Income in **RHODE ISLAND**



Total MR/DD Spending in **RHODE ISLAND**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

RHODE ISLAND 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	22,887,000	25,762,000	28,160,000	32,958,000	40,267,000	44,837,000	58,403,000	61,269,600	68,613,900	72,271,100
TOTAL INSTITUTIONAL/COMMUNITY	18,118,000	20,567,000	22,519,000	26,613,000	32,737,000	36,401,000	49,277,000	51,040,600	56,126,900	59,846,100
STATE FUNDS	10,078,000	11,365,000	12,551,000	14,164,000	17,297,000	19,299,000	26,973,000	27,863,500	30,826,600	32,665,700
General Funds	9,186,000	10,457,000	11,575,000	13,073,000	16,061,000	17,997,000	25,510,000	26,290,500	29,162,600	30,906,700
SSI State Supplement	892,000	908,000	976,000	1,091,000	1,236,000	1,302,000	1,463,000	1,573,000	1,664,000	1,759,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	8,040,000	9,202,000	9,968,000	12,449,000	15,440,000	17,102,000	22,304,000	23,177,100	25,300,300	27,180,400
Title XIX Funds	7,930,000	9,106,000	9,898,000	12,362,000	15,339,000	17,001,000	22,270,000	23,176,200	25,300,300	27,070,800
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	110,000	96,000	70,000	87,000	101,000	101,000	34,000	900	0	109,600
INSTITUTIONAL SERVICES FUNDS	13,828,000	15,839,000	16,685,000	19,536,000	22,825,000	23,730,000	26,911,000	23,529,300	24,820,200	22,778,500
STATE FUNDS	5,990,000	6,789,000	7,145,000	8,232,000	9,630,000	10,299,000	11,680,000	10,110,300	11,212,200	9,842,600
General Funds	5,990,000	6,789,000	7,145,000	8,232,000	9,630,000	10,299,000	11,680,000	10,110,300	11,212,200	9,842,600
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	7,838,000	9,050,000	9,540,000	11,304,000	13,195,000	13,431,000	15,231,000	13,419,000	13,608,000	12,935,900
Federal ICF/MR	7,796,000	8,999,000	9,470,000	11,279,000	13,195,000	13,431,000	15,231,000	13,419,000	13,608,000	12,935,900
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	42,000	51,000	70,000	25,000	0	0	0	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	9,059,000	9,923,000	11,475,000	13,422,000	17,442,000	21,107,000	31,492,000	37,740,300	43,793,700	49,492,600
COMMUNITY SERVICES FUNDS	4,290,000	4,728,000	5,834,000	7,077,000	9,912,000	12,671,000	22,366,000	27,511,300	31,306,700	37,067,600
STATE FUNDS	4,088,000	4,576,000	5,406,000	5,932,000	7,667,000	9,000,000	15,293,000	17,753,200	19,614,400	22,823,100
General Funds	3,196,000	3,668,000	4,430,000	4,841,000	6,431,000	7,698,000	13,830,000	16,180,200	17,950,400	21,064,100
SSI State Supplement	892,000	908,000	976,000	1,091,000	1,236,000	1,302,000	1,463,000	1,573,000	1,664,000	1,759,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	202,000	152,000	428,000	1,145,000	2,245,000	3,671,000	7,073,000	9,758,100	11,692,300	14,244,500
ICF/MR Funds	134,000	107,000	428,000	1,083,000	2,144,000	3,570,000	7,039,000	7,684,600	9,251,300	10,458,000
Small Public	0	0	0	0	196,000	744,000	2,438,000	1,339,600	2,069,300	1,655,500
Small Private	134,000	107,000	428,000	1,083,000	1,948,000	2,826,000	4,601,000	6,345,000	7,182,000	8,802,500
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	0	2,072,600	2,441,000	3,676,900
Title XIX Day Programs	0	0	0	0	0	0	0	1,831,200	1,903,500	1,115,900
Waiver	0	0	0	0	0	0	0	241,400	537,500	2,561,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	68,000	45,000	0	62,000	101,000	101,000	34,000	900	0	109,600
FEDERAL INCOME MAINTENANCE	4,769,000	5,195,000	5,641,000	6,345,000	7,530,000	8,436,000	9,126,000	10,229,000	12,487,000	12,425,000
Suppl. Security Income (SSI)	3,358,000	3,627,000	3,812,000	4,173,000	4,803,000	5,401,000	5,849,000	6,842,000	8,281,000	8,469,000
Childhood Disability (SSDI)	1,411,000	1,568,000	1,829,000	2,172,000	2,727,000	3,035,000	3,277,000	3,387,000	4,206,000	3,956,000
F.F.P. Rate	56.55%	56.89%	57.00%	57.61%	57.81%	57.78%	57.77%	56.64%	57.66%	56.79%
Daily Institutional Population	736	720	669	663	606	549	518	398	426	379
Institutional Per Diem	51.47	60.27	68.33	80.51	103.19	118.42	142.33	161.53	159.63	164.66

SOUTH CAROLINA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services for individuals with mental retardation and developmental disabilities are provided in South Carolina by the Department of Mental Retardation. The Department has a Central Office and four Regional Centers (Piedmont, Midlands, Pee Dee, and Coastal).

Budget Format. The program budget categories and the general budget format within the Department were consistent throughout the years of the analysis, with the exception of FY 1977, when the budget areas were organized into the four Regions, administration, community services and employee benefits. For FYs 1978 through FY 1986, the program categories in the state budget were:

- Administration
- Services Support
- Developmental
- Health
- Community
- Residential
- Prevention and Research
- Employee Benefits (FY 1977, FYs 1980-86)

Notes on Data Sources. South Carolina State Budget documents for Budget years FY 1979, FY 1980, and FY 1982; and the South Carolina Department of Mental Retardation Budget Request for FYs 1983-84, FYs 1985-86 and FYs 1986-1987 were utilized. These documents provided "actual" figures for FYs 1977, '78, '80, '82, '84, and '85; and "operating budget estimates" (FYs '79, '81, '83, and '86).

James E. Kirk, Deputy Commissioner, Fiscal Affairs (p.c., telephone, 9/15/83 and subsequently) and Steve Mattison, Budget Supervisor, Department of Mental Retardation (p.c., telephone, 9/16/83 and subsequently) identified the community services and institutional services program elements, relating lines in the published budget documents to our analytic format:

a. "Support Services," "Developmental," "Residential," and "Health" were institutional services line items.

b. "Community" was a community services line item for our analysis.

c. "Administration" and "Prevention and Research," within the Central Office budget were excluded from our analysis.

d. "Employee Benefits" (FY 1977; FYs 1980-86), were allocated between community and institutional services based on the community/institutional expenditure ratios each year (for example, in FY 1986 community personnel costs constituted 6.8%).

Federal revenues from U.S.D.A, Title VI-C, State Library Grant, Title II, Part A, Chapter 1, Chapter 2, Very Special Arts Festival, and Medicare were categorized Other Federal Funds, and a variety of other revenues (canteen, sale of surplus equipment, insurance claims, etc.) were categorized Other State Funds. Medicaid reimbursement (Title XIX, ICF/MR) was also reported in the Budgets.

The program category "Community" was identified, and, as noted above, fringe benefit costs were allocated to community services in proportion to the community staff costs. Revenues for community services were determined from the report at the back of the Budget document. Public Law 94-142 and Job Training Partnership Act were counted as Other Federal Funds, and Social Service Block Grant/Title XX funds were so categorized in our analysis. Medicaid revenue for DMR-operated, community-based group homes was determined by utilizing beds, average per diem, and occupancy rates (p.c., telephone, Bill Barfield, DMR, 3/20/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of the Whitten, Piedmont, Coastal and Pee Dee Centers. Average daily population figures for FYs 1977-83 were provided by DMR officials (p.c., correspondence, Barbara Hegler, Data Manager and Research Analyst, DMR, 5/25/84). FYs 1984-86 figures were available from the budget documents.

III. COMMUNITY SERVICES FUNDS

Community services consisted of the Community line in the budget documents, an apportioned share of employee benefits (FY 1977; FYs 1980-86), state-operated, community-based small public ICFs/MR, and private ICFs/MR.

Small Public ICF/MR. The FY 1986 projection was for 180 beds, $80.24 per diem and a 75.31% occupancy rate (20 facilities). This expenditure figure of $3.970.2 thousand included $2,894.3 thousand which was the Federal portion deducted from the Department's total Title XIX revenue. The remainder was assigned to our institutional services Federal ICF/MR.

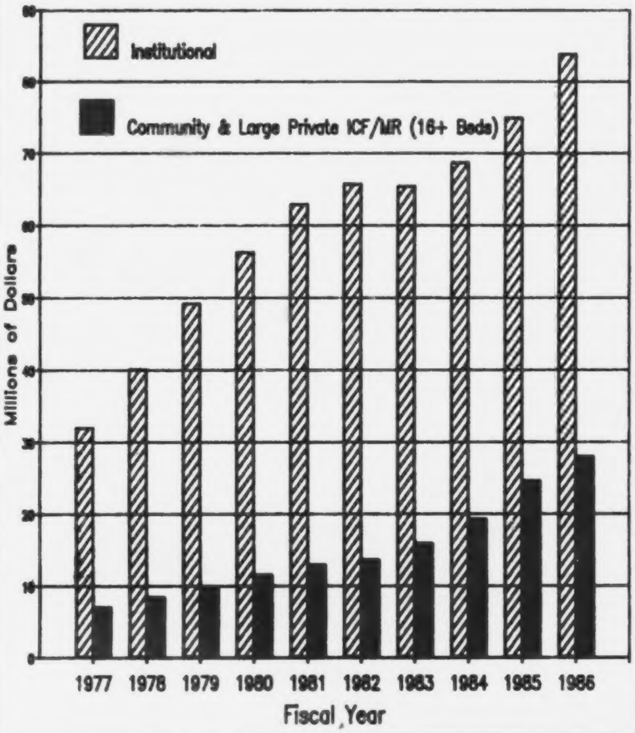
Private ICF/MR. Bruce Bondo, Assistant Comptroller, Federal Grants, Medical and Public Assistance, Department of Social Services, provided the FY 1984 estimated expenditure figures for the private ICFs/MR. S. Mattison (p.c., telephone, 5/23/84) indicated that there were 70 private ICF/MR residents, with the "State Share" being budgeted through the Department of Social Services. Jeff Saxon, Audit Supervisor, Office of Audit and Control, Department of Social Services provided the FYs 1977-83 figures for private ICF/MR reimbursements.

Jeff Saxon (p.c., telephone, 3/11/86) reported figures for FYs 1984 and '85 and FY 1986 projections. The FY 1986 figures included one 50-bed and one 44-bed facility, which were categorized in our analysis as ICF/MR Large, and one 8-bed facility, categorized ICF/MR Small.

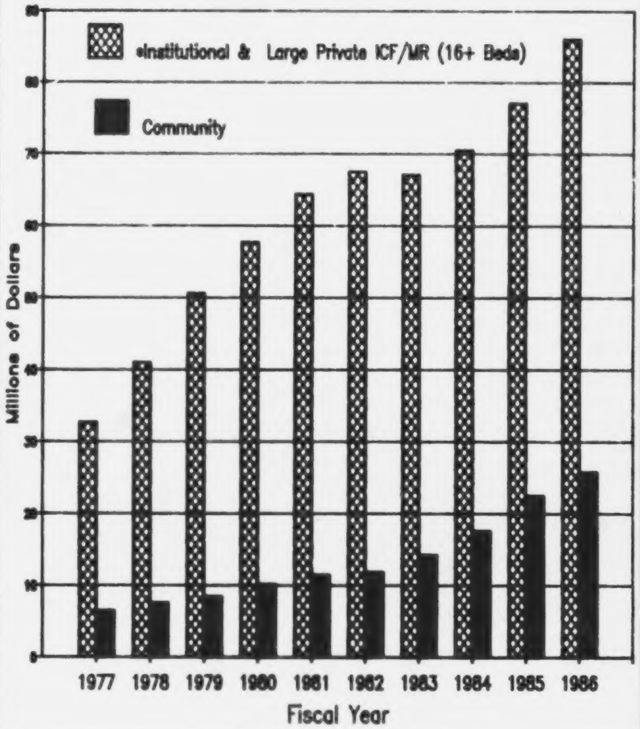
Federal Title XX/SSBG funds are as reported in the budget documents for the DMR.

SOUTH CAROLINA

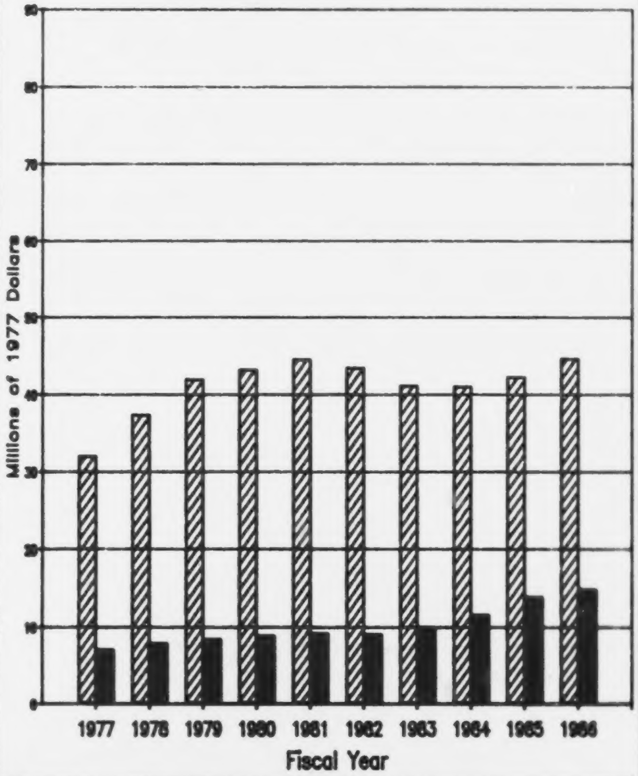
MR/DD Expenditures
for *Institutional* & *Community* Services



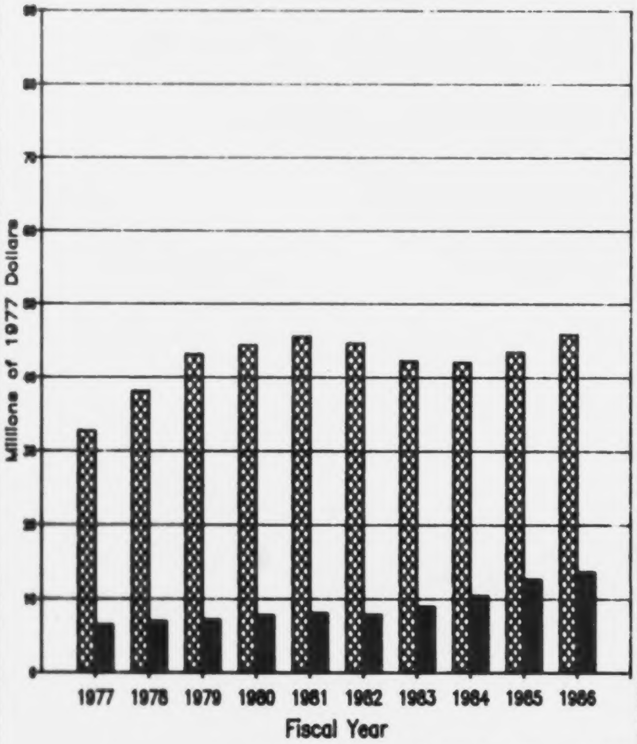
MR/DD Expenditures for Large Congregate*
& Community Services



Adjusted for Inflation



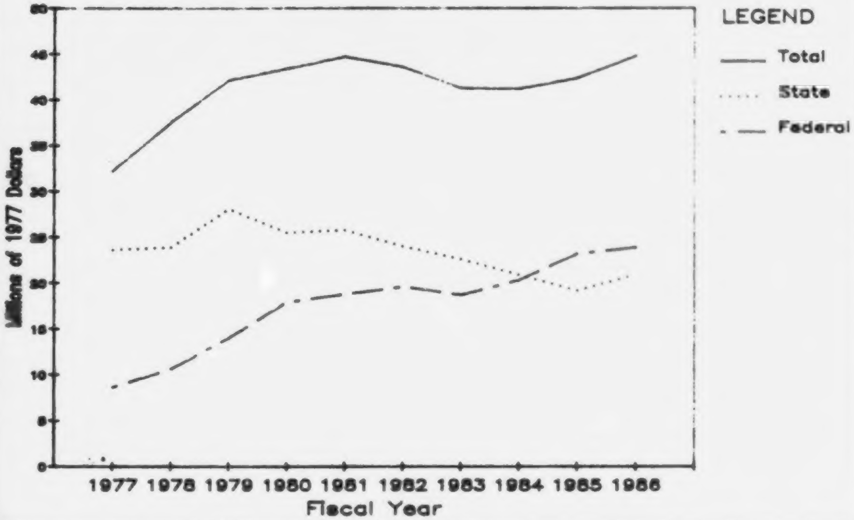
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

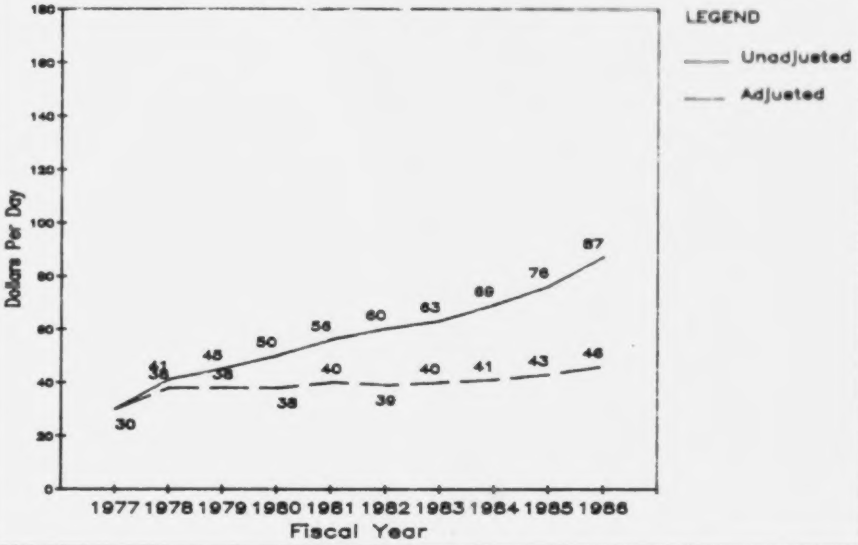
SOUTH CAROLINA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

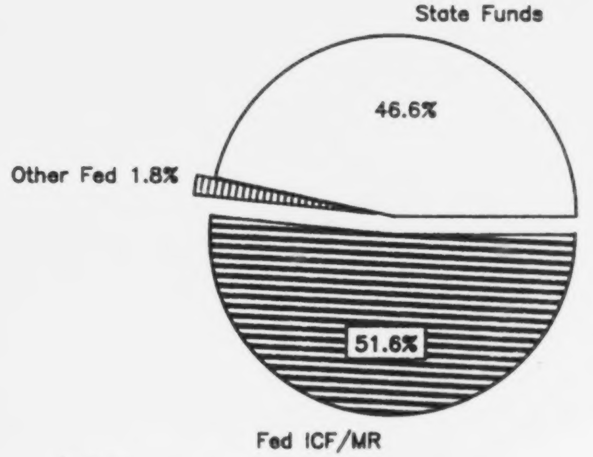


SOUTH CAROLINA

Institutional Per Diem Costs: FY 1977–86

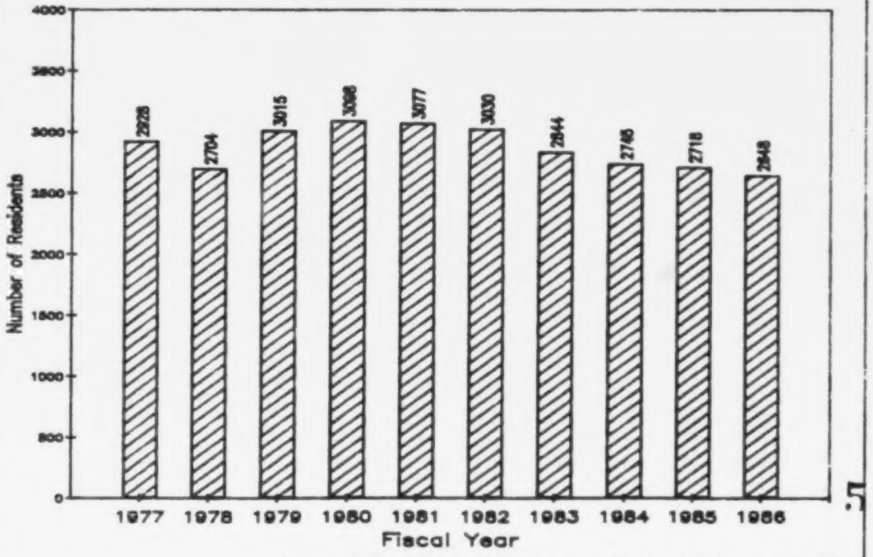


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $84.0 Million

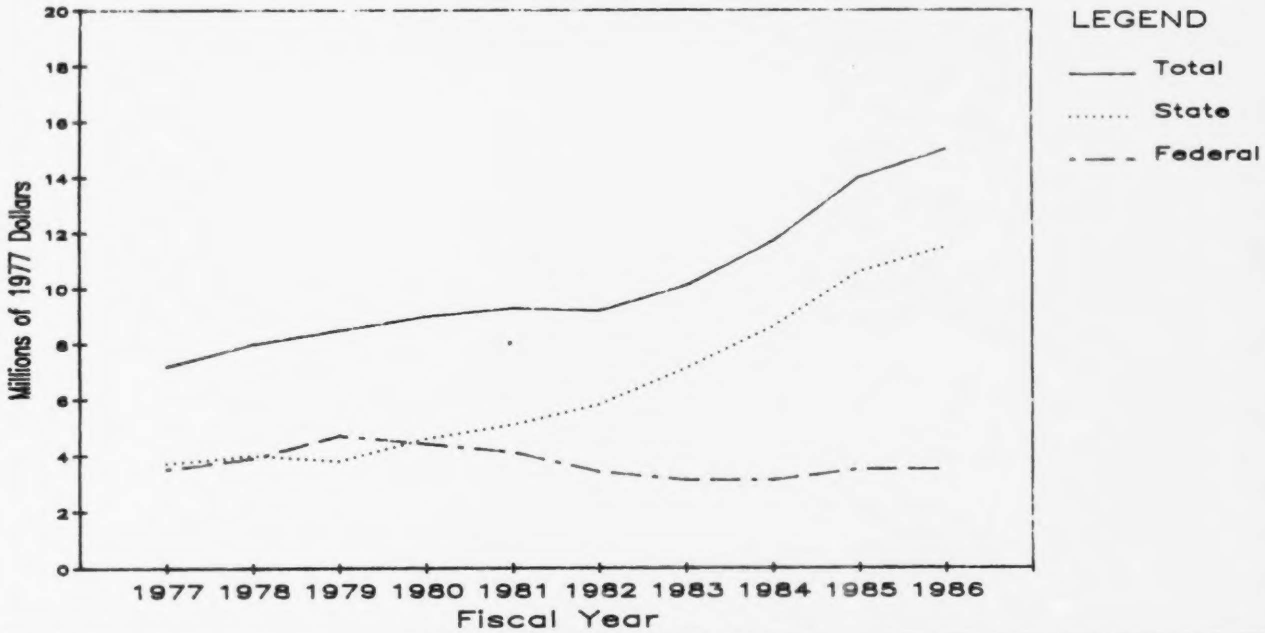
Average Daily Residents in Institutions



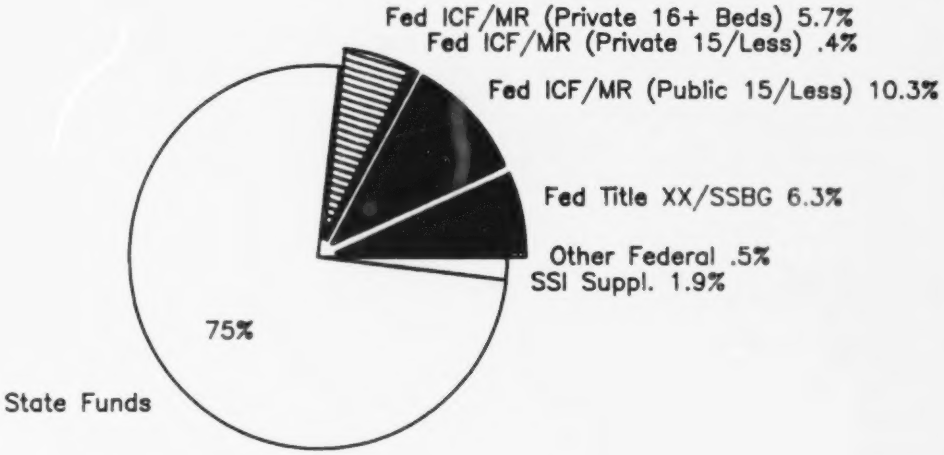
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

SOUTH CAROLINA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

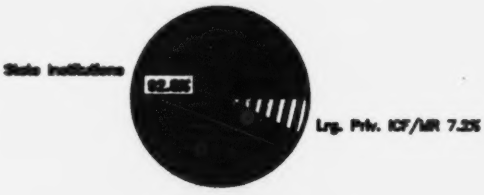


FY 1986 Total Funds: $28.2 Million

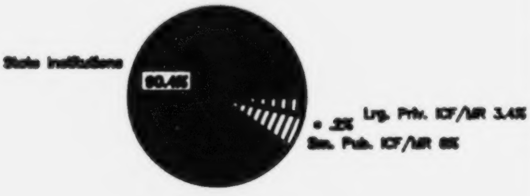
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

SOUTH CAROLINA

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



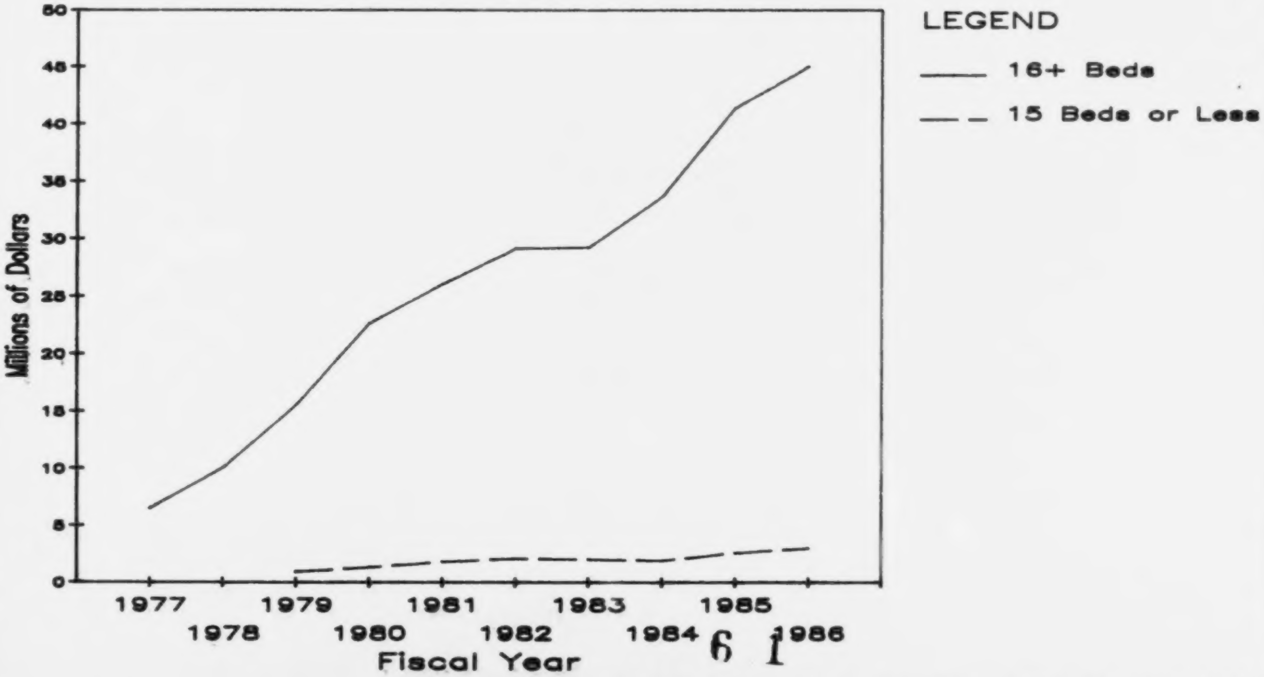
FY 1977 Total Federal Funds: $6.5 Million



FY 1986 Total Federal Funds: $48 Million

* Small Private ICF/MR in FY 1986

By Facility Size, FY 1977–86



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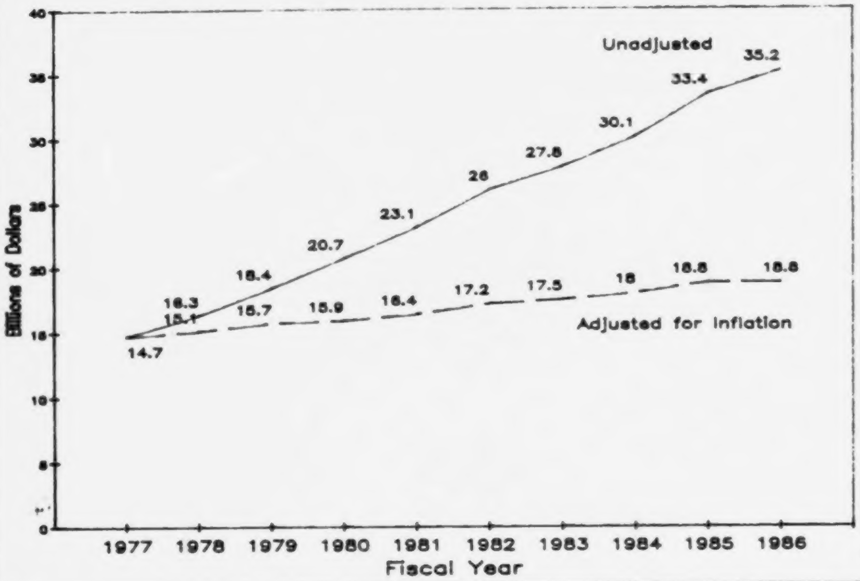
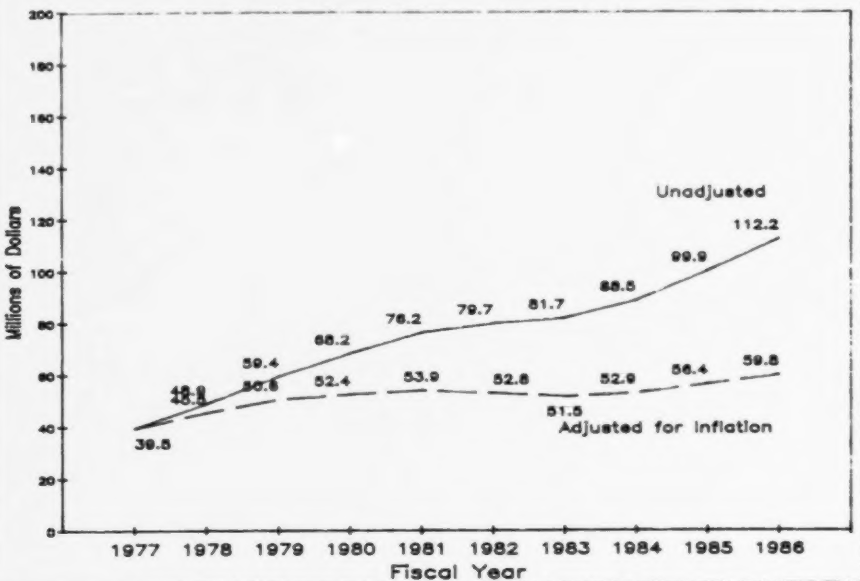
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

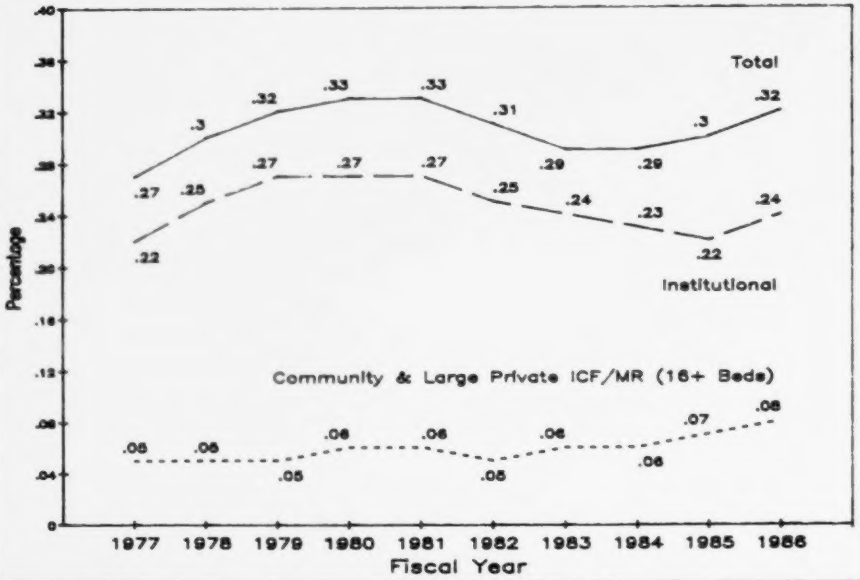
Personal Income in SOUTH CAROLINA



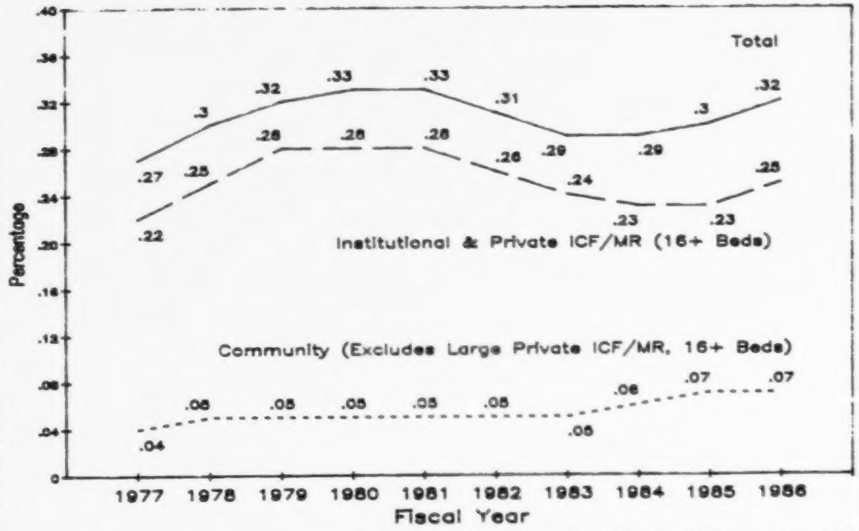
Total MR/DD Spending in SOUTH CAROLINA



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

SOUTH CAROLINA 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	63,802,000	75,988,000	89,453,000	102,660,000	117,951,000	126,345,000	132,271,000	144,000,000	159,363,900	176,402,300
TOTAL INSTITUTIONAL/COMMUNITY	39,475,000	48,911,000	59,410,000	68,210,000	76,204,000	79,767,000	81,755,000	88,516,000	99,956,900	112,503,300
STATE FUNDS	27,410,000	33,322,000	37,487,300	39,199,000	43,791,600	44,973,500	47,150,200	49,473,400	52,714,800	61,111,300
General Funds	27,151,000	32,769,000	36,526,300	38,489,000	43,336,600	43,757,500	45,870,200	48,397,000	51,157,600	58,696,800
SSI State Supplement	162,000	212,000	249,000	375,000	377,000	414,000	492,000	539,000	570,000	836,000
Other State Funds	97,000	341,000	712,000	335,000	78,000	802,000	788,000	537,400	987,200	1,578,500
FEDERAL FUNDS	12,065,000	15,589,000	21,922,700	29,011,000	32,412,400	34,793,500	34,604,800	39,042,600	47,242,100	51,392,000
Title XIX Funds	6,508,000	10,050,000	16,477,700	24,016,000	27,901,400	31,303,500	31,265,800	35,681,700	43,985,200	48,045,500
Title XX / SSBG Funds	3,015,000	3,560,000	3,587,000	3,363,000	2,962,000	1,688,000	1,623,000	1,837,500	1,947,900	1,766,200
Other Federal Funds	2,542,000	1,979,000	1,858,000	1,632,000	1,549,000	1,802,000	1,716,000	1,523,400	1,309,000	1,580,300
INSTITUTIONAL SERVICES FUNDS	32,224,000	40,327,000	49,429,000	56,498,000	63,072,000	65,878,000	65,604,000	68,909,800	75,059,900	84,025,700
STATE FUNDS	23,643,000	28,950,000	32,972,200	33,188,200	36,498,600	36,198,100	35,845,900	34,975,800	33,960,500	39,153,800
General Funds	23,546,000	28,609,000	32,260,200	32,853,200	36,420,600	35,396,100	35,057,900	34,438,400	32,973,300	37,575,300
Other State Funds	97,000	341,000	712,000	335,000	78,000	802,000	788,000	537,400	987,200	1,578,500
FEDERAL FUNDS	8,581,000	11,377,000	16,456,800	23,309,800	26,573,400	29,679,900	29,758,100	33,934,000	41,099,400	44,871,900
Federal ICF/MR	6,039,000	9,398,000	14,598,800	21,677,800	25,024,400	27,877,900	28,042,100	32,464,300	39,829,600	43,419,900
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	2,542,000	1,979,000	1,858,000	1,632,000	1,549,000	1,802,000	1,716,000	1,469,700	1,269,800	1,452,000
COMMUNITY WITH FEDERAL INCOME MAINT	31,578,000	35,661,000	40,024,000	46,162,000	54,879,000	60,467,000	66,667,000	75,090,200	84,304,000	92,376,600
COMMUNITY SERVICES FUNDS	7,251,000	8,584,000	9,981,000	11,712,000	13,132,000	13,889,000	16,151,000	19,606,200	24,897,000	28,477,600
STATE FUNDS	3,767,000	4,372,000	4,515,100	6,010,800	7,293,000	8,775,400	11,304,300	14,497,600	18,754,300	21,957,500
General Funds	3,605,000	4,160,000	4,266,100	5,635,800	6,916,000	8,361,400	10,812,300	13,958,600	18,184,300	21,121,500
SSI State Supplement	162,000	212,000	249,000	375,000	377,000	414,000	492,000	539,000	570,000	836,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	3,484,000	4,212,000	5,465,900	5,701,200	5,839,000	5,113,600	4,846,700	5,108,600	6,142,700	6,520,100
ICF/MR Funds	469,000	652,000	1,878,900	2,338,200	2,877,000	3,425,600	3,223,700	3,217,400	4,155,600	4,625,600
Small Public	0	0	898,900	1,337,200	1,797,000	2,145,600	2,013,700	1,826,600	2,501,700	2,894,300
Small Private	0	0	0	0	0	0	0	116,100	111,700	118,800
Large Private	469,000	652,000	980,000	1,001,000	1,080,000	1,280,000	1,210,000	1,274,700	1,542,200	1,612,500
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	3,015,000	3,560,000	3,587,000	3,363,000	2,962,000	1,688,000	1,623,000	1,837,500	1,947,900	1,766,200
Other Federal Funds	0	0	0	0	0	0	0	53,700	39,200	128,300
FEDERAL INCOME MAINTENANCE	24,327,000	27,077,000	30,043,000	34,450,000	41,747,000	46,578,000	50,516,000	55,484,000	59,407,000	63,899,000
Suppl. Security Income (SSI)	18,237,000	20,309,000	22,152,000	25,079,000	29,978,000	33,481,000	36,375,000	40,868,000	44,036,000	46,829,000
Childhood Disability (SSDI)	6,090,000	6,768,000	7,891,000	9,371,000	11,769,000	13,097,000	14,141,000	14,616,000	15,371,000	17,070,000
F.F.P. Rate	73.58%	72.34%	71.93%	71.21%	70.97%	70.82%	70.77%	72.83%	73.51%	72.90%
Daily Institutional Population	2,928	2,704	3,015	3,098	3,077	3,030	2,844	2,745	2,718	2,648
Institutional Per Diem	30.15	40.86	44.92	49.83	56.16	59.57	63.20	68.59	75.66	86.94

SOUTH DAKOTA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. In South Dakota, the two state DD institutions are under the administrative authority of the Board of Charities and Corrections. Community-based services are administered by the Office of DD/MH which is in the Department of Social Services.

Budget Format. The sections of the Governor's budget which pertained to DD services were formatted as follows:

A. Board of Charities & Corrections

- Custer State Hospital
  - Funding Source:
    - General Funds
    - Federal Funds
    - Other Funds
    - Total
  - Expenditure Detail
    - Personal Services
    - Operating Expenses
    - Total
    - Administration
    - Direct Resident Care (through FY 1983)
    - Therapeutic and Rehabilitation (through FY 1983)
    - Physical Plant (through FY 1983)
    - Medical Services (FYs 1984-86)
    - Resident Services (FYs 1984-86)
    - Hospital Support Services (FYs 1984-86)
  - Redfield State Hospital & School
    - (Same funding source subdivisions as above)
    - Administration
    - Patient Services
    - Medical Services
    - Educational Unit (through FY 1983)
    - Basic Skills Training Unit (FYs 1984-86)
    - Vocational Unit
    - Developmental Living Units
    - Physical Plant
    - Female Work Therapy (FYs 1983-86: Non-MR/DD funds)

B. Department of Social Services
D.D. Office
New Program Development
Pre-vocational Training (FYs 1977-79)
Community Living Training (FYs 1977-79)
Community Habilitation Services (combined with Intermediate Care in the FY 1987 Budget)
Community Training Services
Community Intermediate Care for DD
(Same funding sources as above)

Note on Data Sources. Actual expenditure figures for FYs 1977-85 were obtained from the Governor's Budget documents for FY 1980, 1983, 1984, and 1987. FY 1986 actual expenditures were provided by Ed Campbell, Assistant Program Specialist, Office of DD (p.c., telephone, 8/28/86), D. Harrin, Business Manager, Custer State Hospital (p.c., telephone, 9/2/86), and C. Spencer, Business Office, Redfield State Hospital and School (p.c., telephone, 9/2/86). Average daily census data for the two state institutions were obtained from D. Harrin (p.c., telephone, 6/26/86) and G. Marlet, Business Manager, Redfield State Hospital and School (p.c., telephone, 6/26/86).

II. INSTITUTIONAL SERVICES FUNDS

State General Fund. Institutional services included funds for Custer State Hospital and Redfield State Hospital and School. State general fund exenditures were taken from the line "General Funds" in the budget documents. The state matching share of Title XIX ICF/MR funds was included in the State Funds category of our analysis. Included under general funds in the Redfield budget were funds for the Female Work Therapy Program (since FY 1983). This program served non-MR/DD residents; therefore, program expenditures were excluded from the analysis.

Other State Funds labeled "Other" in the Governor's Budget. They represented private pay, insurance payments and other patient receipts.

Federal ICF/MR. In the state Budget, Title XIX ICF/MR as well as any other federal funds were lumped together under the label "Federal Funds." The business managers at the two facilities (p.c., telephone, 9/13/83), provided estimates of the portion of the federal funds that represented School Lunch and Title I education monies in the FY 1977-83 period. Fiscal Years 1984-86 figures were obtained from the FY 1987 budget. According to D. Harrin, (p.c., telephone, 2/26/86), Title I funding was phased out in FY 1984. These funds, which were included in our analysis as Other Federal Funds, were subtracted from the total "Federal Funds." The remainder was then recorded in our analysis as Federal Title XIX ICF/MR funds.

Other Federal Funds were School Lunch and ESEA Title I monies.

III. COMMUNITY SERVICES FUNDS

Community services included the following lines from the State Budget: New Program Development, Pre-vocational Training (FYs 1977-79), Community Living Training (FY 1977-79), Community Habilitation Services (this was the Medicaid Waiver which appeared after FY 1983 and was merged with Intermediate Care in the FY 1987 budget), and Community Training Services (which appeared in FYs 1980-86 only).

The figures in our analysis excluded local funds from the local school districts, Vocational Rehabilitation funds, SSI, and sales revenue from the sheltered workshops and other community programs. Campbell indicated that these sources accounted for about 42% of the entire community services budget (p.c., letter, 2/6/84). Campbell provided local expenditure figures for 1983 and 1984, but not for prior years. Local funds were not included in our analysis, except where noted as part of the state matching dollars for private community ICFs/MR or Federal Title XX/SSBG.

Other State Funds were locally generated as part of the Title XX/SSBG state match (p.c., telephone, Ed Campbell, 8/31/83). The remaining state matching funds were in our State General Fund line. Also included in this line was the local match for Title XIX Waiver services.

Private ICF/MR. According to Ed Campbell, there were 19 agencies providing ICF/MR services in South Dakota in FY 1986 (p.c., telephone, 4/4/86). All facilities were in the 15-or-fewer bed classification. These expenditures were reported as part of the Office of DD's budget. Starting in FY 1983, part of the state match for Title XIX ICF/MR came from local sources. These amounts were included in our total private ICF/MR figures. However, tuition monies paid by local school districts directly to the community ICFs/MR for special education services were not included in our Private ICF/MR totals.

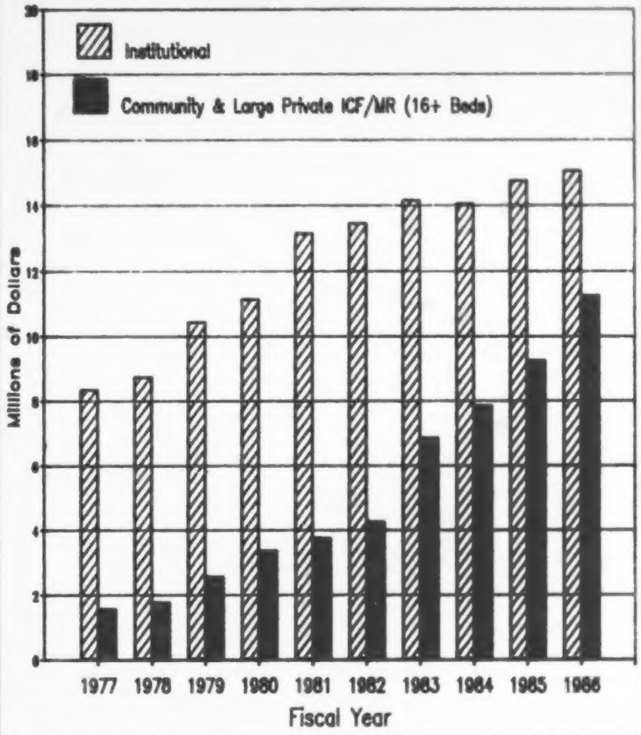
Waiver funds in FY 1983 were termed Community Habilitation Services in the Budget; FYs 1984-86 figures were taken from the line, Federal Title XIX Funds under the Adult and Children sections of the Community Habilitation/Intermediate Care budget section.

Federal Title XX/SSBG funds were recorded under Federal Funds in the State Budget under the Pre-vocational Training and Community Living Training programs in FYs 1977-79. These funds were reported in the Community Training Services program line in FYs 1980-86.

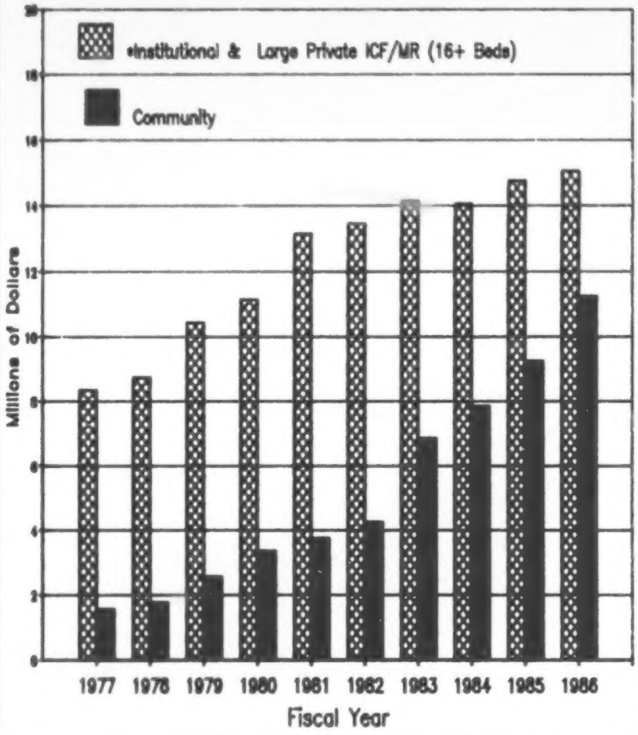
Other Federal Funds were DDSA and Protection and Advocacy program funds.

SOUTH DAKOTA

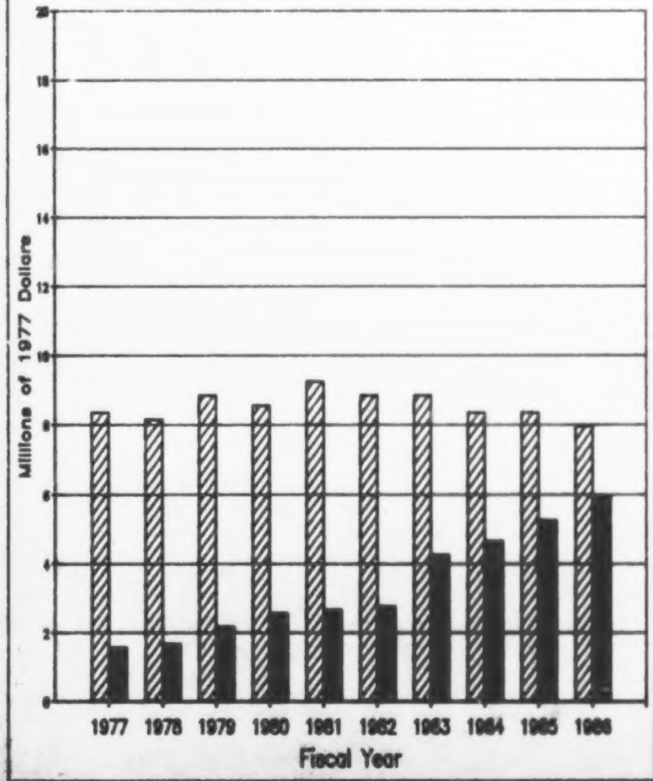
MR/DD Expenditures for *Institutional* & *Community* Services



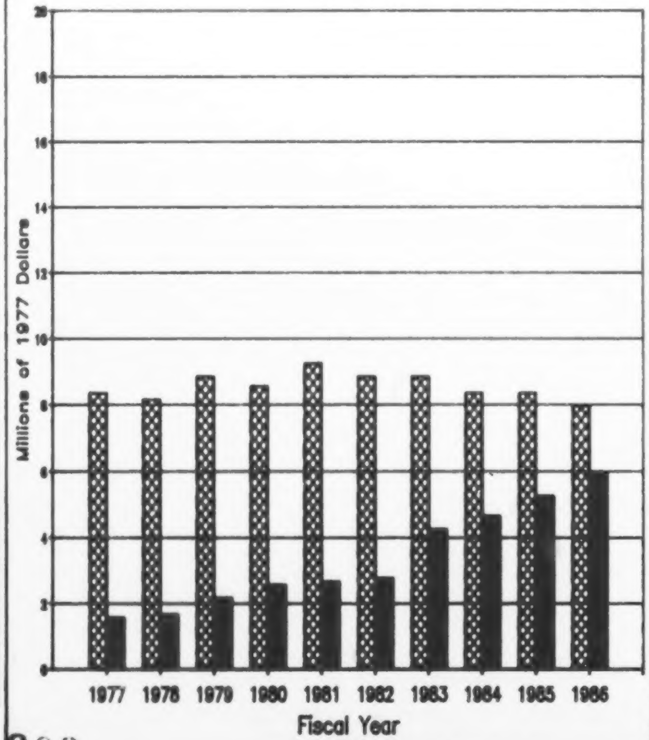
MR/DD Expenditures for Large Congregate* & Community Services



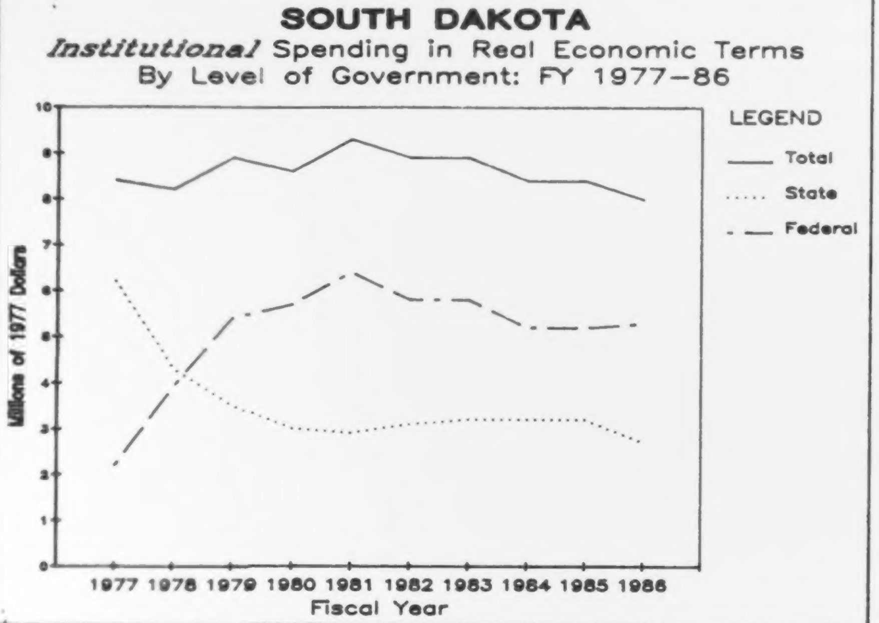
Adjusted for Inflation



Adjusted for Inflation

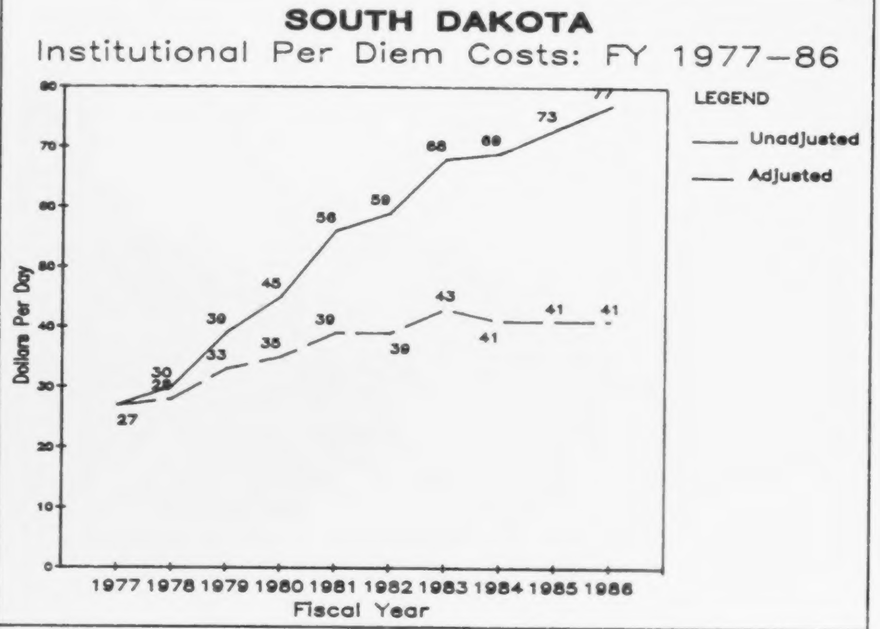


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



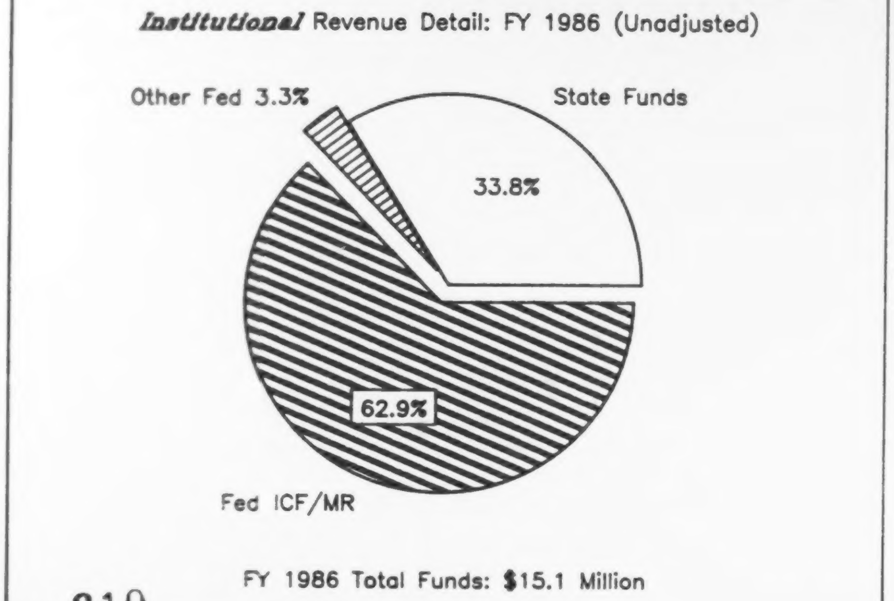
SOUTH DAKOTA

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86



SOUTH DAKOTA

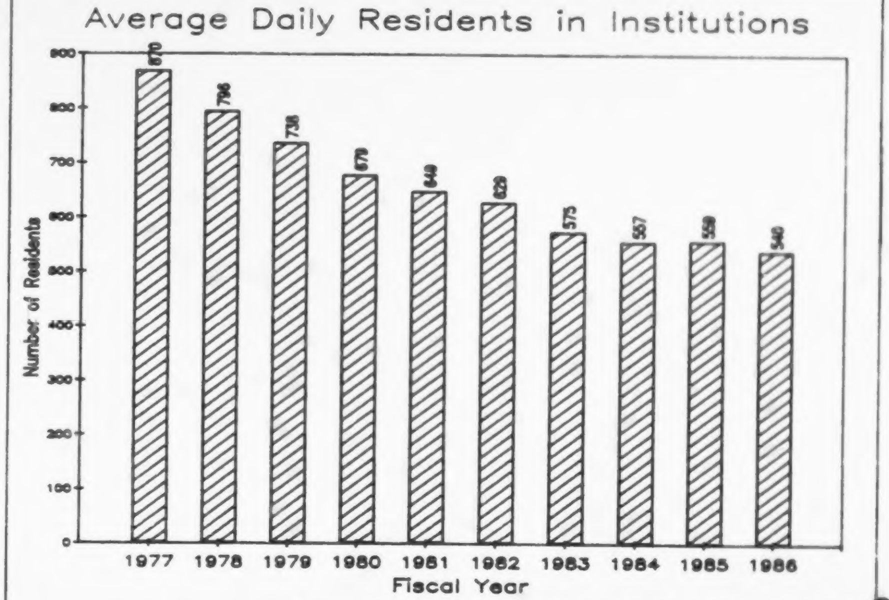
Institutional Per Diem Costs: FY 1977–86



Institutional Revenue Detail: FY 1986 (Unadjusted)

FY 1986 Total Funds: $15.1 Million

610



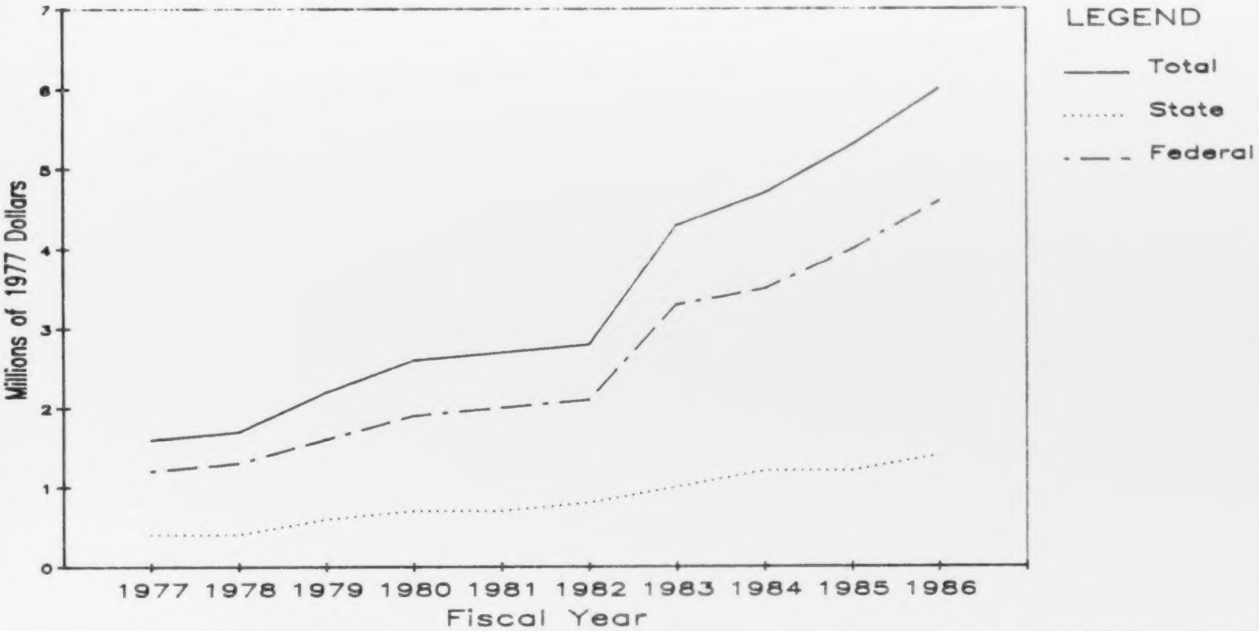
Average Daily Residents in Institutions

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

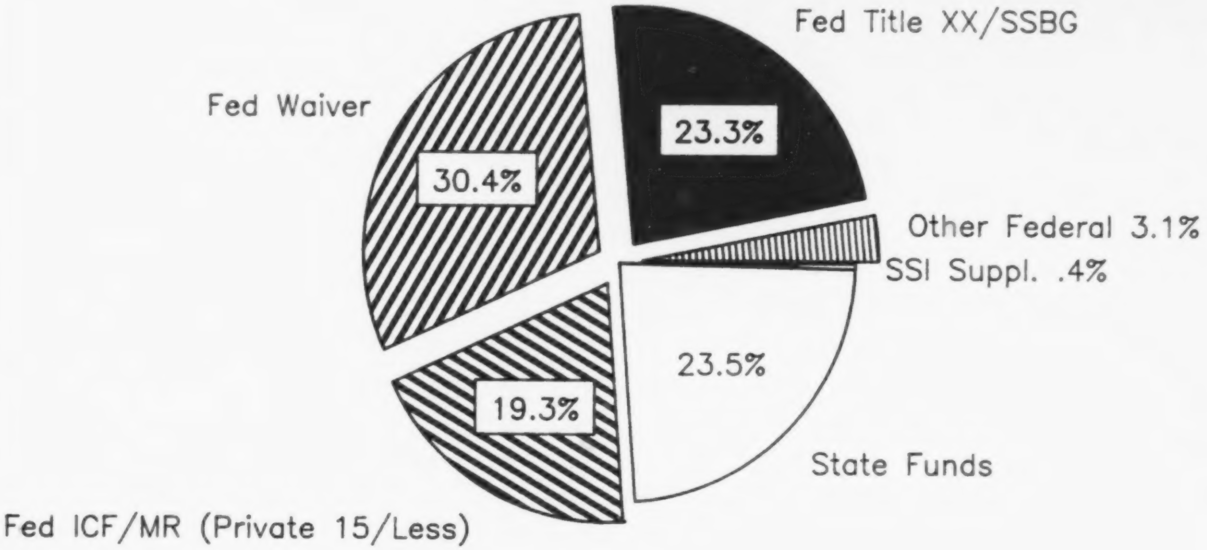
611

SOUTH DAKOTA

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)



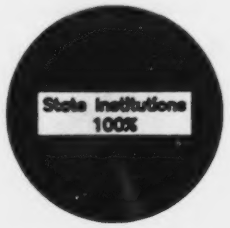
FY 1986 Total Funds: $11.3 Million

612

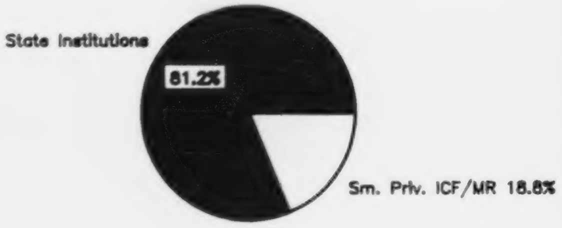
Source: Policy Analysis Program, U of Illinois at Chicago U/[illegible] 1986

SOUTH DAKOTA

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

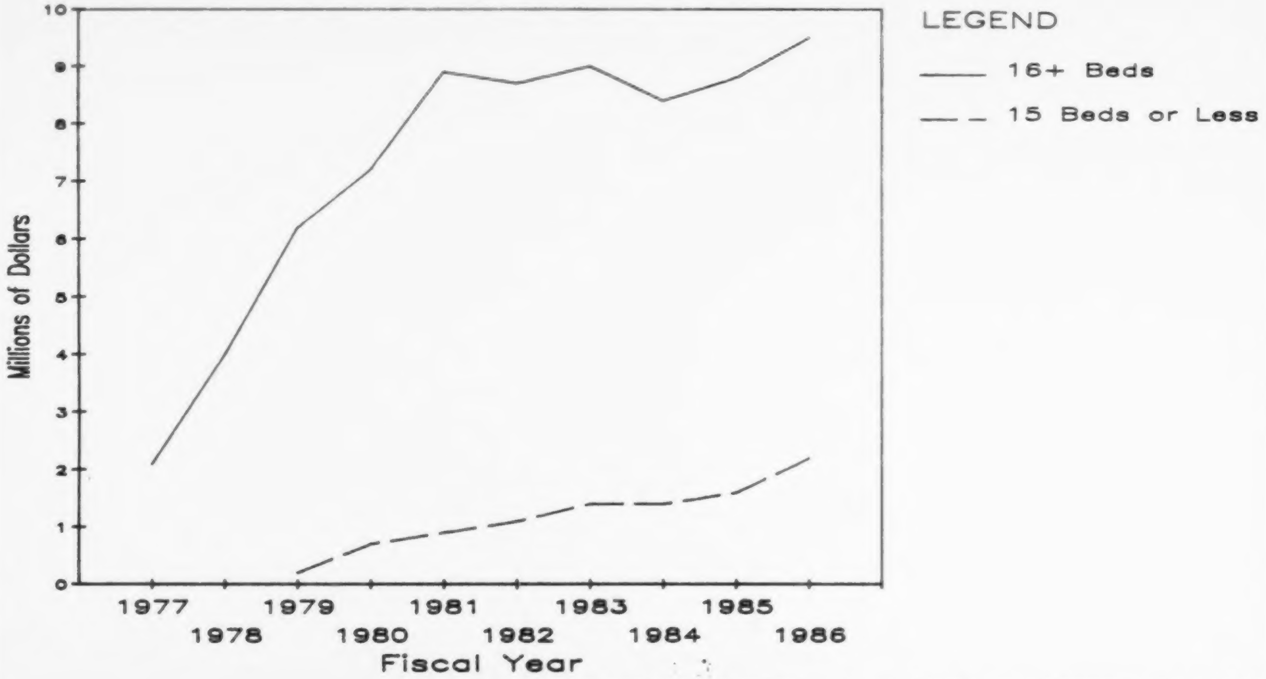


FY 1977 Total Federal Funds: $2.1 Million



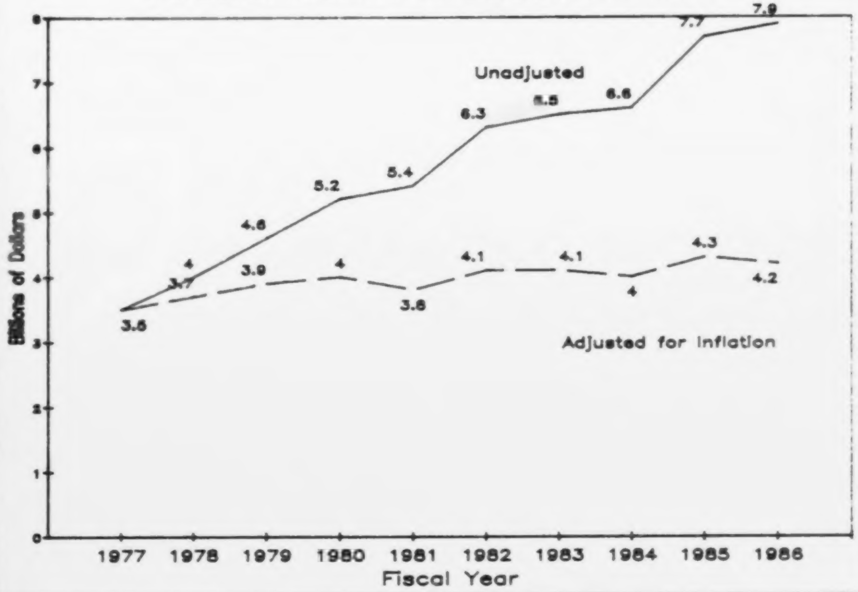
FY 1986 Total Federal Funds: $11.7 Million

By Facility Size, FY 1977–86

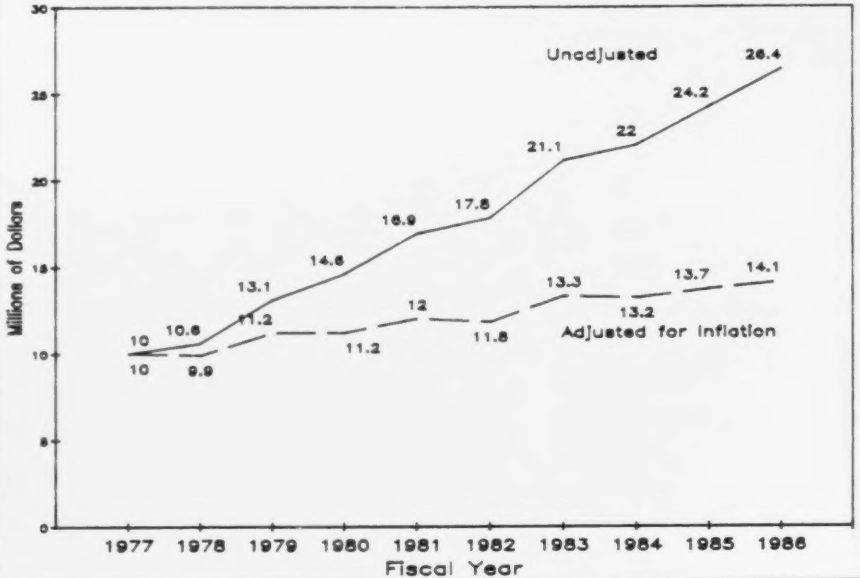


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

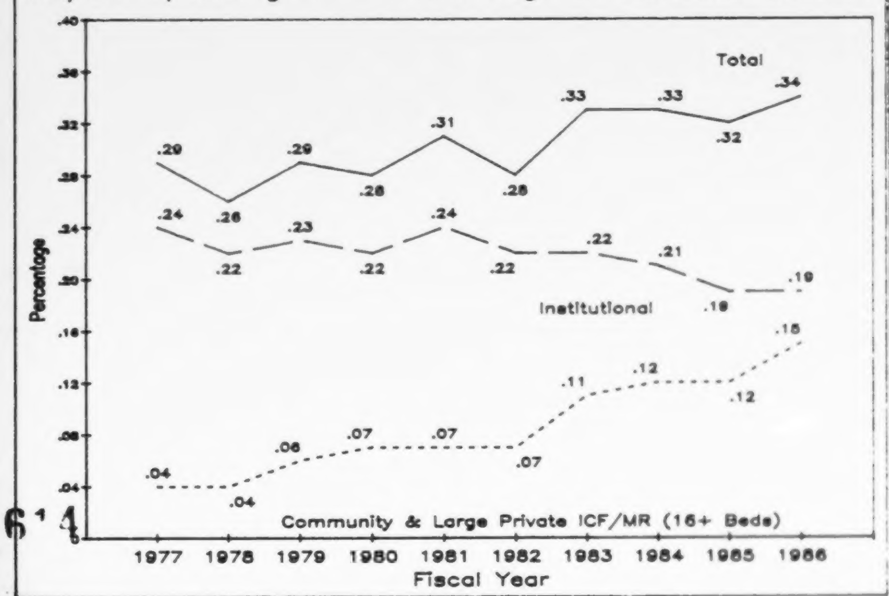
Personal Income in **SOUTH DAKOTA**



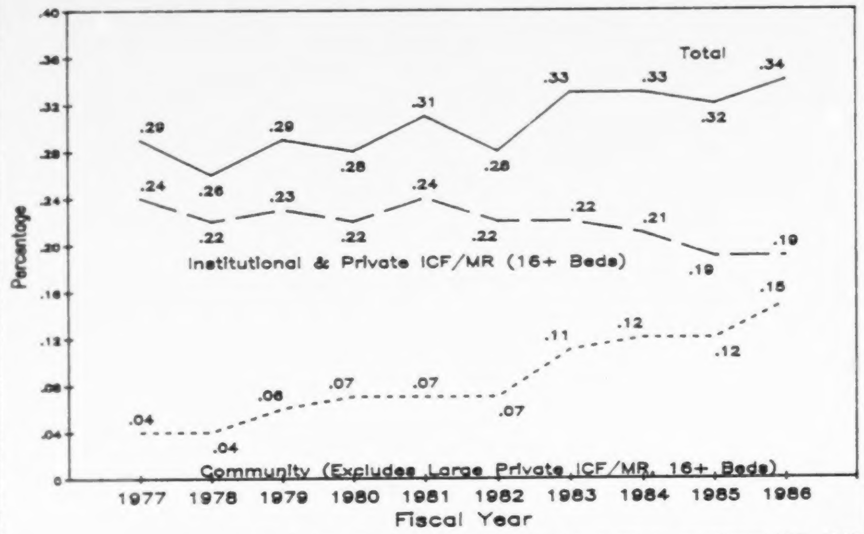
Total MR/DD Spending in **SOUTH DAKOTA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

SOUTH DAKOTA 9/4/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	12,364,000	13,237,000	16,070,000	17,975,000	21,124,000	22,542,000	26,391,200	27,765,300	30,149,600	33,260,100
TOTAL INSTITUTIONAL/COMMUNITY	9,994,000	10,606,000	13,088,000	14,636,000	16,939,000	17,788,000	21,096,200	22,014,300	24,184,600	26,433,100
STATE FUNDS	6,621,000	5,113,000	4,851,000	4,758,000	5,116,000	5,851,000	6,697,200	7,328,300	7,804,300	7,799,000
General Funds	6,368,000	4,942,000	4,615,000	4,585,000	4,876,000	5,609,000	6,092,200	6,642,500	7,100,900	7,112,700
SSI State Supplement	22,000	26,000	34,000	36,000	32,000	31,000	29,000	26,000	28,000	42,000
Other State Funds	231,000	145,000	202,000	137,000	208,000	211,000	576,000	659,800	675,400	644,300
FEDERAL FUNDS	3,373,000	5,493,000	8,237,000	9,878,000	11,823,000	11,937,000	14,399,000	14,686,000	16,380,300	18,634,100
Title XIX Funds	2,053,000	4,007,000	6,394,000	7,901,000	9,818,000	9,787,000	12,066,000	11,999,000	13,281,700	15,131,000
Title XX / SSBG Funds	1,020,000	1,282,000	1,411,000	1,629,000	1,681,000	1,815,000	1,947,000	2,103,900	2,322,400	2,646,900
Other Federal Funds	300,000	204,000	432,000	348,000	324,000	335,000	386,000	583,100	776,200	856,200
INSTITUTIONAL SERVICES FUNDS	8,426,000	8,822,000	10,493,000	11,242,000	13,160,000	13,509,000	14,192,200	14,117,500	14,848,100	15,084,300
STATE FUNDS	6,231,000	4,673,000	4,160,000	3,852,000	4,111,000	4,675,000	5,039,200	5,368,100	5,605,000	5,094,400
General Funds	6,047,000	4,574,000	4,008,000	3,770,000	3,958,000	4,519,000	4,879,200	5,216,700	5,452,700	4,944,400
Other State Funds	184,000	99,000	152,000	82,000	153,000	156,000	160,000	151,400	152,300	150,000
FEDERAL FUNDS	2,195,000	4,149,000	6,333,000	7,390,000	9,049,000	8,834,000	9,153,000	8,749,400	9,243,100	9,989,900
Federal ICF/MR	2,053,000	4,007,000	6,191,000	7,248,000	8,907,000	8,692,000	8,961,000	8,361,400	8,823,100	9,489,900
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	142,000	142,000	142,000	142,000	142,000	142,000	192,000	388,000	420,000	500,000
COMMUNITY WITH FEDERAL INCOME MAINT	3,938,000	4,415,000	5,577,000	6,733,000	7,964,000	9,033,000	12,199,000	13,647,800	15,301,500	18,175,800
COMMUNITY SERVICES FUNDS	1,568,000	1,784,000	2,595,000	3,394,000	3,779,000	4,279,000	6,904,000	7,896,800	9,336,500	11,348,800
STATE FUNDS	390,000	440,000	691,000	906,000	1,005,000	1,176,000	1,658,000	1,960,200	2,199,300	2,704,600
General Funds	321,000	368,000	607,000	815,000	918,000	1,090,000	1,213,000	1,425,800	1,648,200	2,168,300
SSI State Supplement	22,000	26,000	34,000	36,000	32,000	31,000	29,000	26,000	28,000	42,000
Other State Funds	47,000	46,000	50,000	55,000	55,000	55,000	416,000	508,400	523,100	494,300
FEDERAL FUNDS	1,178,000	1,344,000	1,904,000	2,488,000	2,774,000	3,103,000	5,246,000	5,936,600	7,137,200	8,644,200
ICF/MR Funds	0	0	203,000	653,000	911,000	1,095,000	1,393,000	1,425,600	1,567,200	2,192,800
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	203,000	653,000	911,000	1,095,000	1,393,000	1,425,600	1,567,200	2,192,800
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	1,712,000	2,212,000	2,891,400	3,448,300
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	1,712,000	2,212,000	2,891,400	3,448,300
Title XX / SSBG Funds	1,020,000	1,282,000	1,411,000	1,629,000	1,681,000	1,815,000	1,947,000	2,103,900	2,322,400	2,646,900
Other Federal Funds	158,000	62,000	290,000	206,000	182,000	193,000	194,000	195,100	356,200	356,200
FEDERAL INCOME MAINTENANCE	2,370,000	2,631,000	2,982,000	3,339,000	4,185,000	4,754,000	5,295,000	5,751,000	5,965,000	6,827,000
Suppl. Security Income (SSI)	1,229,000	1,363,000	1,503,000	1,582,000	1,979,000	2,299,000	2,644,000	3,011,000	3,317,000	3,627,000
Childhood Disability (SSDI)	1,141,000	1,268,000	1,479,000	1,757,000	2,206,000	2,455,000	2,651,000	2,740,000	2,648,000	3,200,000
F.F.P. Rate	67.23%	64.66%	63.80%	67.54%	68.78%	68.34%	68.19%	68.28%	68.31%	67.94%
Daily Institutional Population	870	796	738	679	649	629	575	557	559	540
Institutional Per Diem	26.53	30.36	38.95	45.24	55.55	58.84	67.62	69.25	72.77	76.53

TENNESSEE

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Community and institutional services are administered by the Assistant Commissioner for Mental Retardation Services in the Department of Mental Health and Mental Retardation. The Assistant Commissioner for Mental Retardation's Office has the following subdivisions: (1) MR Administration; (2) Community MR; and (3) a separate budget for each MR institution. Our analysis excluded the central state office administrative expenditures.

Budget Format. The budget format for mental retardation, which follows, remained the same over the ten year period of our study.

Department of Mental Health & Mental Retardation
  Mental Retardation Services
    1. Mental Retardation Administration
        Personnel
        Expenditures
          Personal Services
          Operational Expenses
          Total
        Funding
          Appropriation
          Federal
          Other
    2. Community Mental Retardation
        (Same subdivisions as above)
    Developmental Centers
    3. Arlington Developmental Center
    4. Clover Bottom Developmental Center
    5. Greene Valley Developmental Center
    6. Nat T. Winston Developmental Center
    7. Mental Retardation Secure Facility
        (Same subdivisions as above under each facility)
Departmental Totals

Note on Data Sources. Actual expenditure figures for FYs 1977-84 were obtained from the FY 1979 through FY 1986 State Budgets. Fiscal Year 1985 actual expenditures and FY 1986 revised spending estimates were taken from the FY 1987 Budget projections, which were provided by James Barnes, Coordinator of Administrative Services, Department of Mental Health and Mental Retardation (p.c., correspondence, 2/6/86). The average daily census data for the developmental centers were obtained from the budget documents.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services funds included support for Arlington, Clover Bottom, and Greene Valley Developmental Centers, Nat T. Winston Developmental Center (a small facility for MR clients who were also Mentally Ill), and the "MR Secure Facility" (formerly called the "Mentally Retarded Offender Program").

State General Funds. In the State Budget, General Funds (GF) were labeled "Appropriation." There were major increases in general fund appropriations for the four developmental centers in the FY 1985-86 period.

Other State Funds were the state share of Title XIX ICF/MR funds and small amounts of private pay receipts, vending machine revenues and other fees. (The Department of Health and Environment budgeted Medicaid funds.)

Federal ICF/MR funding was labeled "Other" in the state budget and included both the state and federal shares. We utilized Federal Financial Paticipation (FFP) rates provided by HCFA, to impute Federal and state shares.

Other Federal Funds were those labeled "Federal" in the state Budget, and were essentially unrecorded after FY 1980. Title I (ESEA), Title IV-B of the Social Security Act, and ESEA Title VI-C funds were still received by the institutions. However, these funds were budgeted through other Tennessee state agency budgets. For FYs 1981-86, they were included in the Other State Funds category in our analysis.

III. COMMUNITY SERVICES FUNDS

Community services referred to the "Community MR" program in the State Budget and privately-operated ICFs/MR funded through the Department of Health and Environment. General fund revenues were comprised of the "Appropriation" line under "Community MR," the state Title XIX match for the state-operated ICFs/MR, and the Mental Retardation Services share of the Title XX/SSBG state match, which was paid to the Department of Human Services (see note on Title XX/SSBG below). According to James Barnes (p.c., correspondence, 3/24/86), the large increase in general fund appropriations in FY 1986 represented the replacement of federal Title XX/SSBG monies with state funds.

Other State Funds were comprised of the state match for private ICFs/MR, state monies budgeted by and transferred from other state agencies, private pay, and miscellaneous receipts, (p.c., correspondence, J. Barnes, 3/24/86).

Small Public ICF/MR. In FY 1981, the first community agency program began receiving Title XIX ICF/MR "15 beds or less" funding. There were two state-operated homes in FY 1983, with one facility (Arlington) having changed to private-ownership in FY 1984. The match for these programs was included in the State General Funds category. FYs 1981-83 figures were provided by James Foshee, Assistant Commissioner, MR Services (p.c., correspondence, 2/1/84); FYs 1984-86 estimates were obtained from Mary Franklin, Department of Health and Environment (p.c., telephone, 4/8/86).

Private ICF/MR expenditures were combined with General ICF reporting in Tennessee's accounting system between FYs 1977-80, which made it difficult to determine exact expenditure figures. FYs 1981-83 data were actual expenditures provided by Doris Honeycut, Department of Public Health (p.c., telephone, 8/26/83). Honeycut also provided estimated amounts for FYs 1977-80. The estimates were based on the fact that private ICF/MRs made up 1% of all of Tennessee's General ICF reimbursement from FYs 1981-83. We therefore assumed that 1% of total General ICF expenditures for FYs 1977-80 would be a reasonable estimate of the FYs 1977-80 private ICF/MR funds. General ICF expenditure figures also were provided by Honeycut.

FYs 1984-86 estimates for "Small" ICFs/MR were provided by James Barnes (p.c., correspondence, 3/24/86). There were two 15-or fewer bed facilities in FY 1986 for which DMH/MR provided the match. Expenditures for the "Large" ICFs/MR were based on information from Mary Franklin (p.c., telephone, 4/8/86). Total funding was extrapolated from bed-counts and per-diems. There were two large ICFs/MR in FY 1984; two additional facilities began operation in FY 1985. Funding figures for these large facilities was provided by the Department of Health and Environment (p.c., telephone, M. Franklin, 4/8/86).

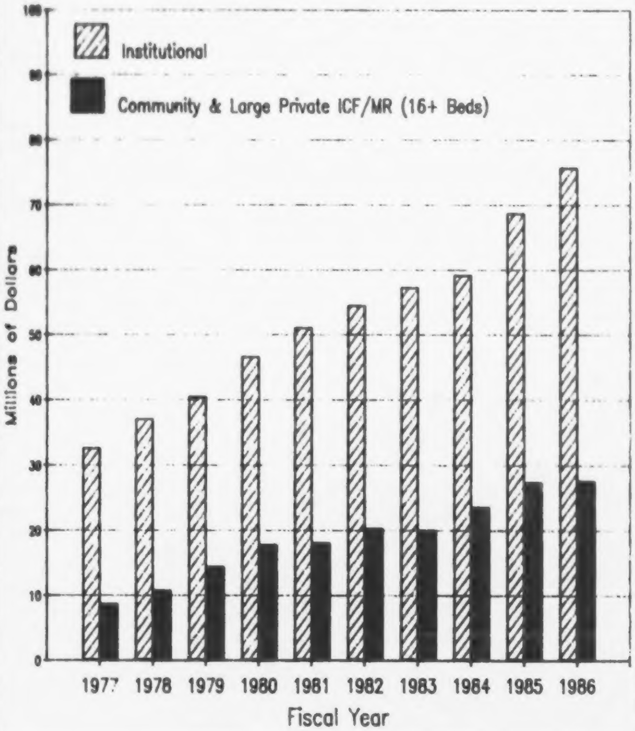
Waiver. According to John Lewis, DMH/MR (p.c., correspondence, 8/18/86), a Title XIX Waiver program began in July of 1986. Tennessee should receive approximately $2.8 million in FY 1987.

Federal Title XX/SSBG. Tennessee used Title XX/SSBG funds for financing community services. The federal share of Title XX was budgeted in the Department of Human Services (DHS), which contracted directly with providers. The MR Services Division paid DHS 75% of the 25% state share of Title XX matching funds. This sum was included in the State General Funds category of our analysis. Federal Title XX funds in our analysis were estimates from Jim Barnes (p.c., telephone, 9/14/83 and 2/11/86).

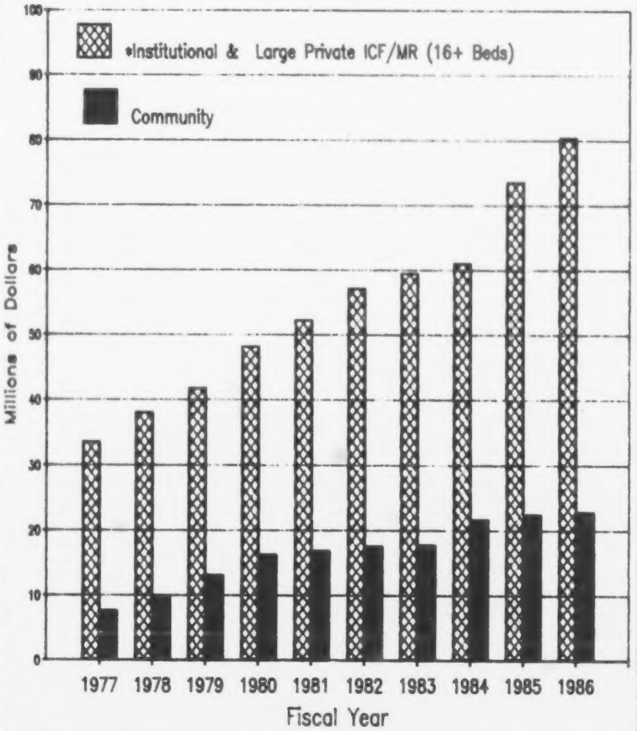
Other Federal Funds were Developmental Disabilities Act funds, and small amounts of Title I and Title IV funds.

TENNESSEE

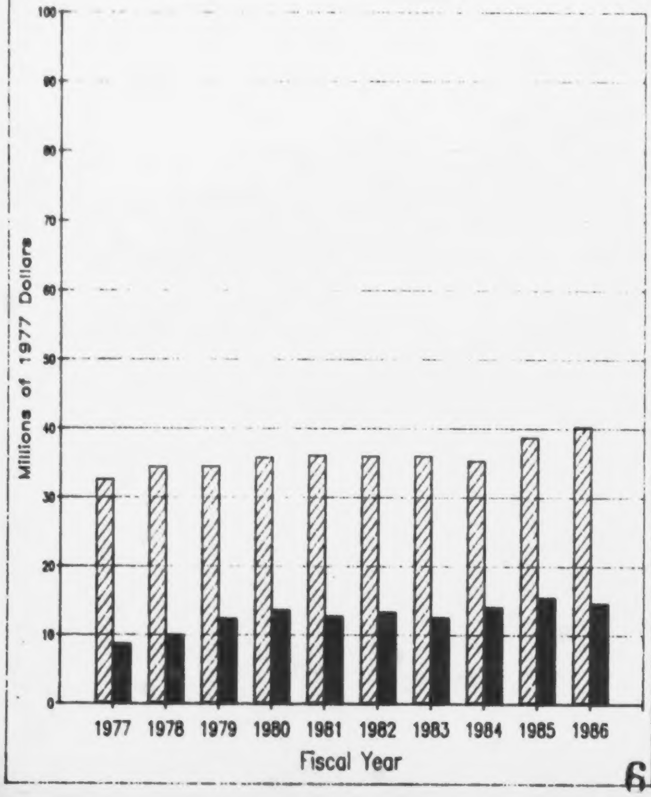
MR/DD Expenditures for *Institutional* & *Community* Services



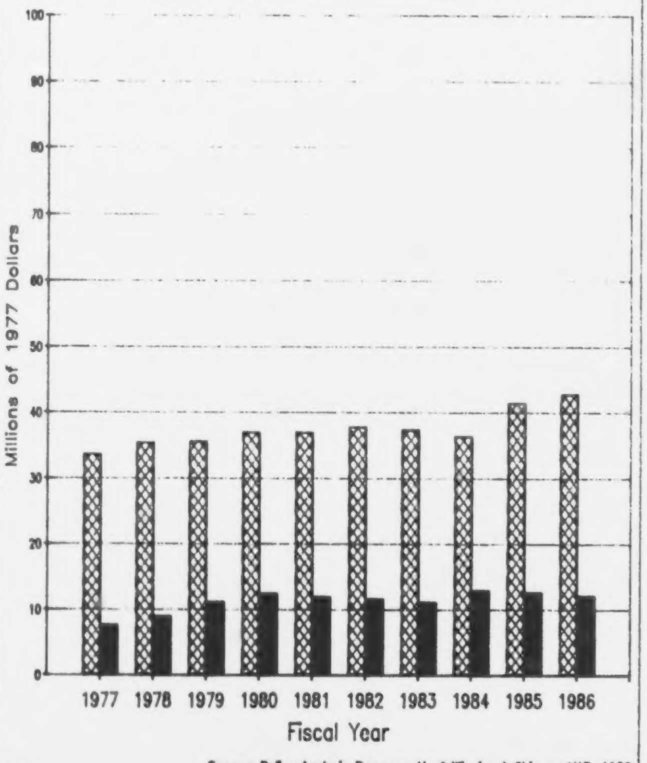
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



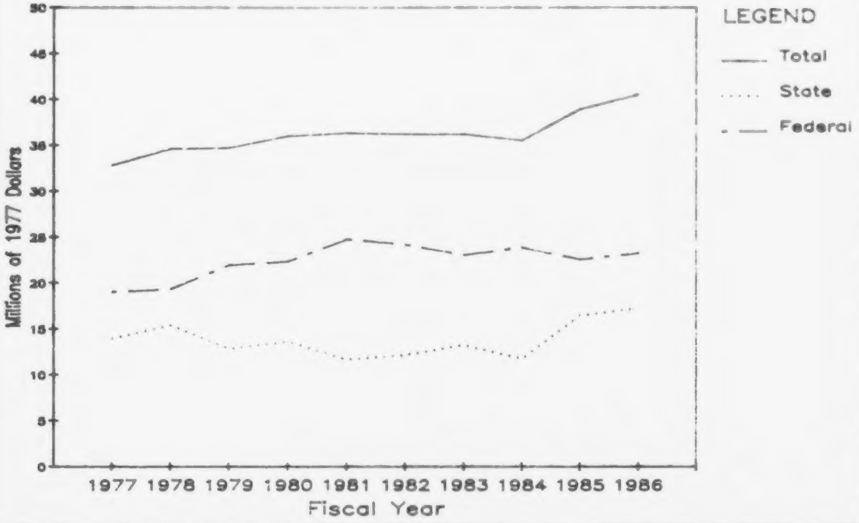
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

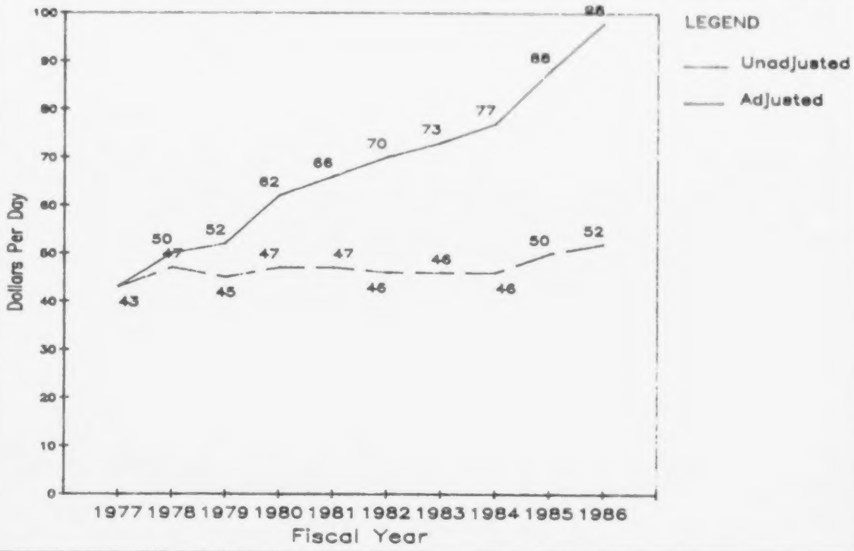
TENNESSEE

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

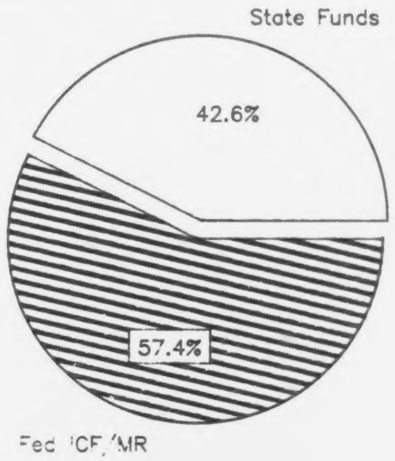


TENNESSEE

Institutional Per Diem Costs: FY 1977–86

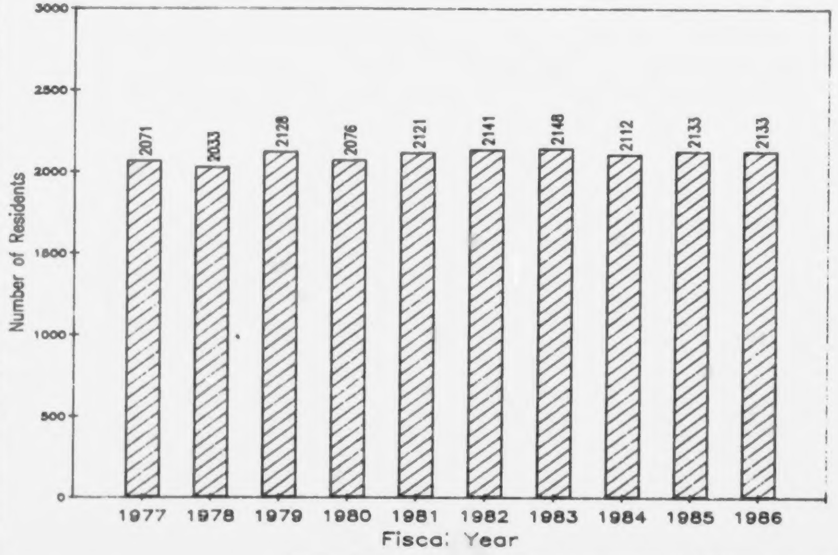


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $75.9 Million

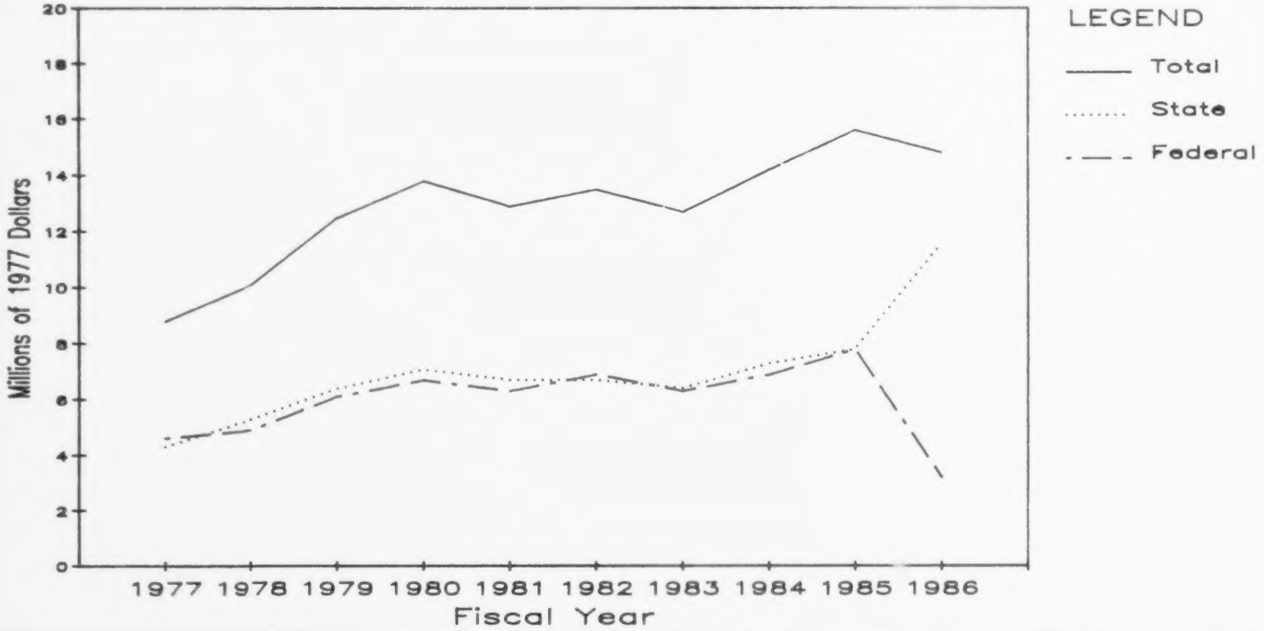
Average Daily Residents in Institutions



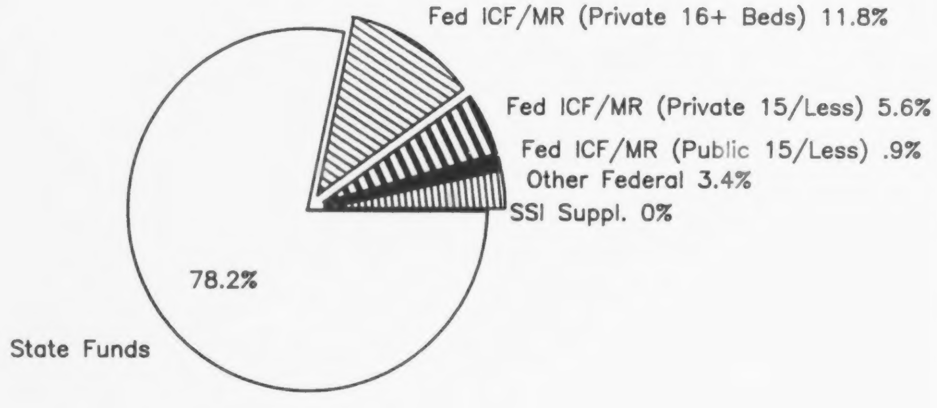
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

TENNESSEE

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

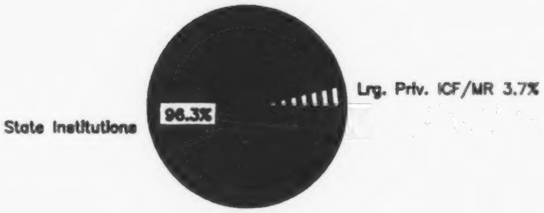


FY 1986 Total Funds: $27.8 Million

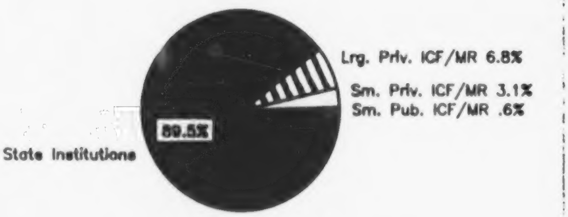
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

TENNESSEE

Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986

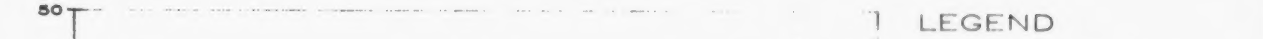


FY 1977 Total Federal Funds: $19.0 Million

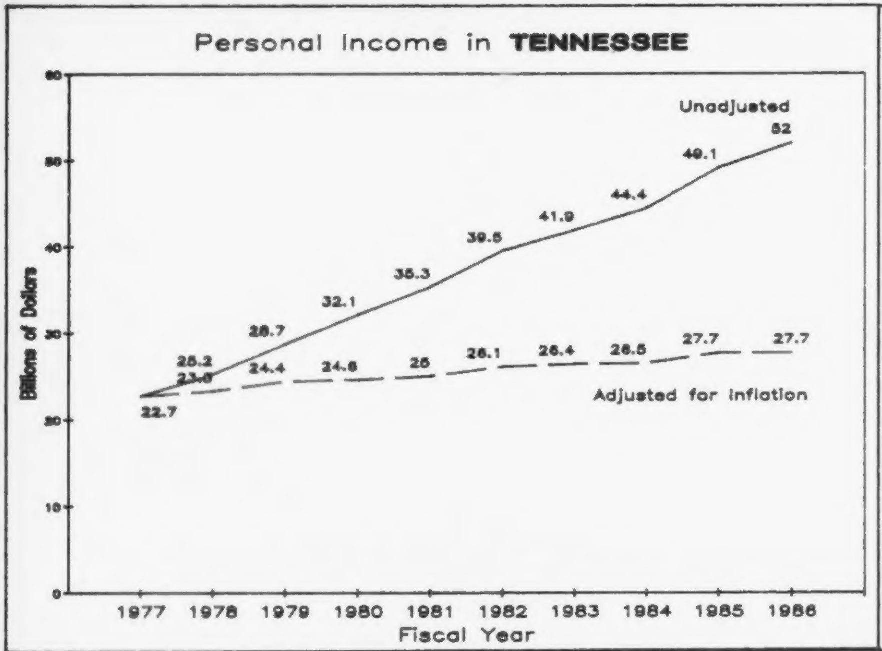


FY 1986 Total Federal Funds: $48.7 Million

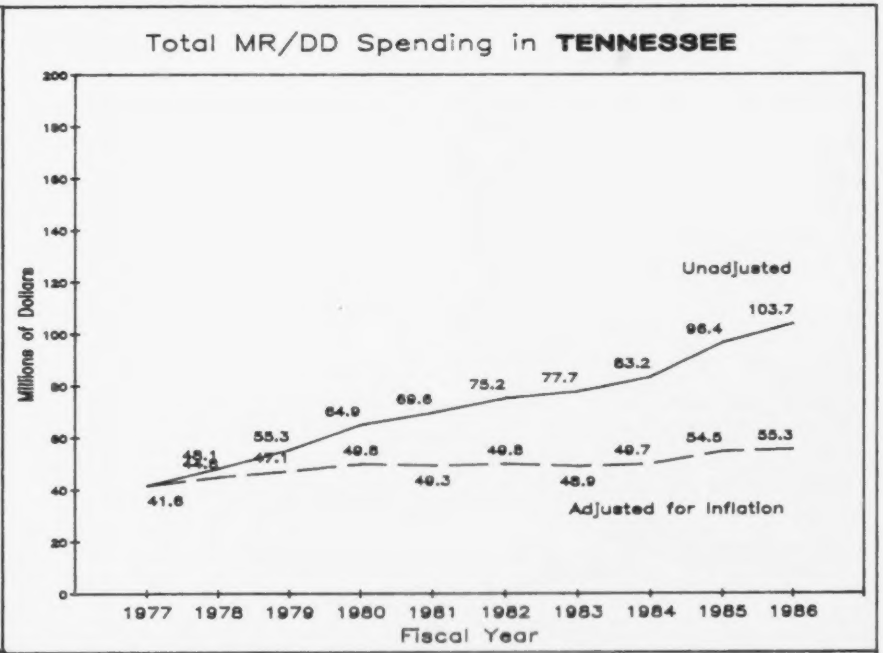
By Facility Size, FY 1977–86



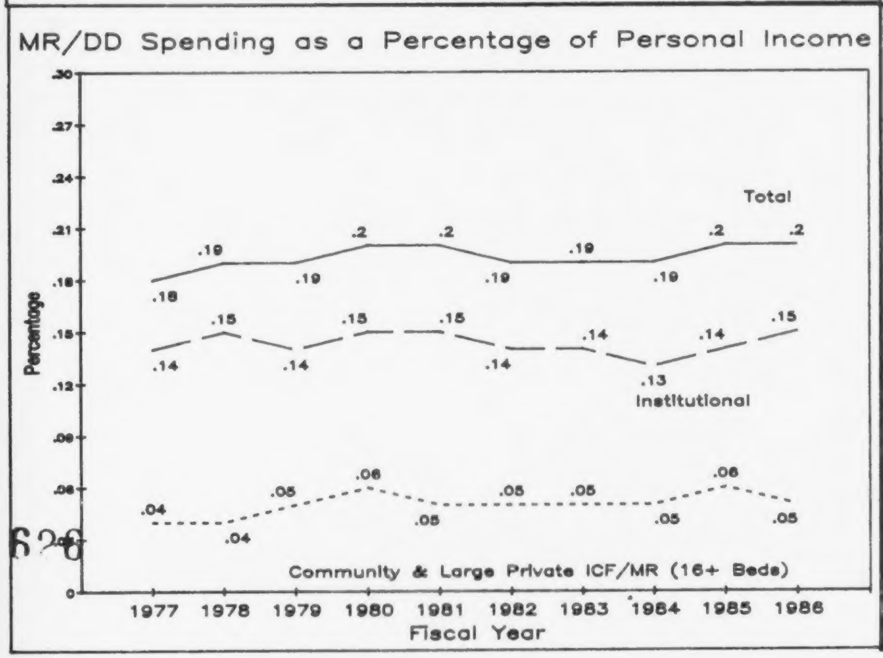
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



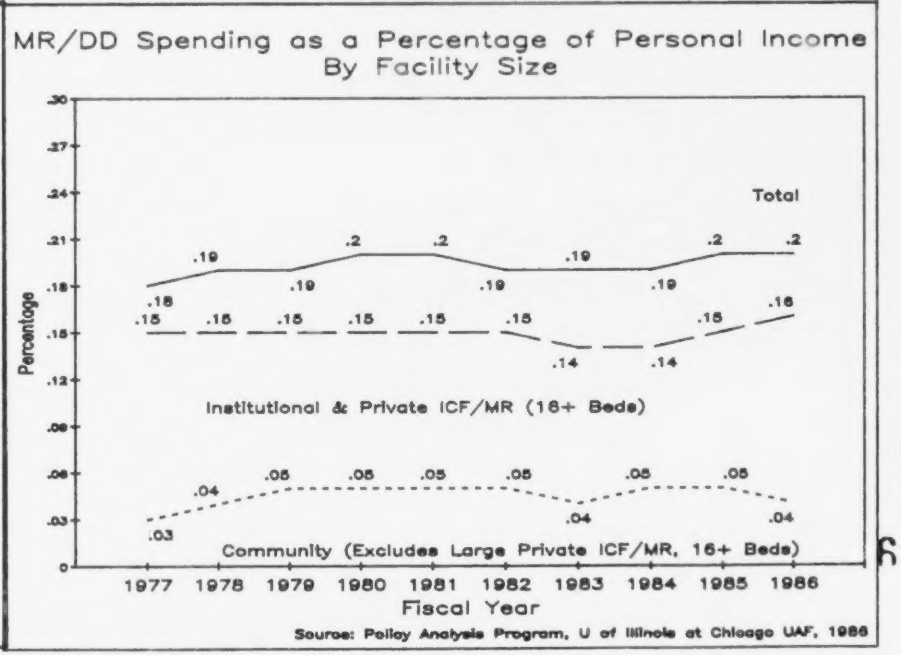
Personal Income in **TENNESSEE**



Total MR/DD Spending in **TENNESSEE**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

TENNESSEE 8/22/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	80,433,000	91,013,000	102,181,000	118,114,000	133,902,000	147,586,000	155,352,000	168,308,100	193,577,800	199,896,900
TOTAL INSTITUTIONAL/COMMUNITY	41,645,000	48,144,000	55,293,000	64,848,000	69,578,000	75,163,000	77,649,000	83,197,100	96,443,800	103,690,900
STATE FUNDS	18,148,000	22,181,000	22,453,000	27,038,000	25,863,000	28,311,000	31,043,000	31,849,100	42,782,500	54,086,600
General Funds	9,949,000	12,722,000	10,555,000	13,818,000	10,147,000	10,579,000	11,403,000	12,783,900	21,800,100	31,226,100
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	8,199,000	9,459,000	11,898,000	13,220,000	15,716,000	17,732,000	19,640,000	19,065,200	20,982,400	22,860,500
FEDERAL FUNDS	23,497,000	25,963,000	32,840,000	37,810,000	43,715,000	46,852,000	46,606,000	51,348,000	53,661,300	49,604,300
Title XIX Funds	19,034,000	20,931,000	26,331,000	30,021,000	36,075,000	39,334,000	39,122,000	42,926,400	45,181,100	48,654,300
Title XX / SSBG Funds	3,366,000	4,072,000	5,809,000	6,875,000	7,109,000	6,795,000	6,228,000	7,488,000	7,488,000	0
Other Federal Funds	1,097,000	960,000	700,000	914,000	531,000	723,000	1,256,000	933,600	992,200	950,000
INSTITUTIONAL SERVICES FUNDS	32,847,000	37,253,000	40,682,000	46,825,000	51,322,000	54,706,000	57,474,000	59,369,200	68,898,500	75,916,100
STATE FUNDS	13,895,000	16,537,000	15,003,000	17,746,000	16,439,000	18,241,000	20,911,000	19,570,900	28,978,400	32,339,200
General Funds	6,199,000	7,413,000	3,516,000	5,006,000	1,080,000	1,501,000	2,076,000	1,267,600	9,534,100	10,970,800
Other State Funds	7,696,000	9,124,000	11,487,000	12,740,000	15,359,000	16,740,000	18,835,000	18,303,300	19,444,300	21,368,400
FEDERAL FUNDS	18,952,000	20,716,000	25,679,000	29,079,000	34,883,000	36,465,000	36,563,000	39,798,300	39,920,100	43,576,900
Federal ICF/MR	18,329,000	20,192,000	25,423,000	28,934,000	34,883,000	36,452,000	36,291,000	39,798,300	39,920,100	43,576,900
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	623,000	524,000	256,000	145,000	0	13,000	272,000	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	47,586,000	53,760,000	61,499,000	71,289,000	82,580,000	92,880,000	97,878,000	108,938,900	124,679,300	123,980,800
COMMUNITY SERVICES FUNDS	8,798,000	10,891,000	14,611,000	18,023,000	18,256,000	20,457,000	20,175,000	23,827,900	27,545,300	27,774,800
STATE FUNDS	4,253,000	5,644,000	7,450,000	9,292,000	9,424,000	10,070,000	10,132,000	12,278,200	13,804,100	21,747,400
General Funds	3,750,000	5,309,000	7,039,000	8,812,000	9,067,000	9,078,000	9,327,000	11,516,300	12,266,000	20,255,300
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	503,000	335,000	411,000	480,000	357,000	992,000	805,000	761,900	1,538,100	1,492,100
FEDERAL FUNDS	4,545,000	5,247,000	7,161,000	8,731,000	8,832,000	10,387,000	10,043,000	11,549,700	13,741,200	6,027,400
ICF/MR Funds	705,000	739,000	908,000	1,087,000	1,192,000	2,882,000	2,831,000	3,128,100	5,261,000	5,077,400
Small Public	0	0	0	0	383,000	1,046,000	1,303,000	250,700	237,100	262,000
Small Private	0	0	0	0	0	0	0	1,501,100	1,562,200	1,536,000
Large Private	705,000	739,000	908,000	1,087,000	809,000	1,836,000	1,528,000	1,376,300	3,461,700	3,279,400
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	3,366,000	4,072,000	5,809,000	6,875,000	7,109,000	6,795,000	6,228,000	7,488,000	7,488,000	0
Other Federal Funds	474,000	436,000	444,000	769,000	531,000	710,000	984,000	933,600	992,200	950,000
FEDERAL INCOME MAINTENANCE	38,788,000	42,869,000	46,888,000	53,266,000	64,324,000	72,423,000	77,703,000	85,111,000	97,134,000	96,206,000
Suppl. Security Income (SSI)	31,306,000	34,554,000	37,197,000	41,752,000	49,865,000	56,331,000	60,329,000	67,154,000	72,571,000	75,233,000
Childhood Disability (SSDI)	7,482,000	8,315,000	9,691,000	11,514,000	14,459,000	16,092,000	17,374,000	17,957,000	24,563,000	20,973,000
F.F.P. Rate	70.43%	69.27%	68.88%	69.29%	69.43%	68.76%	68.53%	70.13%	70.66%	70.20%
Daily Institutional Population	2,071	2,033	2,128	2,076	2,121	2,141	2,148	2,112	2,133	2,133
Institutional Per Diem	43.45	50.20	52.38	61.63	66.29	70.00	73.31	76.80	88.50	97.51

TEXAS

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Community and institutional services are administered by the Deputy Commissioner for Mental Retardation Services in the Department of Mental Health and Mental Retardation.

Budget Format. The Texas State Budget was organized in the following manner. The years in parentheses indicate those budget lines which appear for only a portion of the FY 1977-86 period.

- Department of Mental Health and Mental Retardation
  - Central Office
    - Central Administration
    - Management & Support Program
    - Program Administrative Services
      - Mental Health Services
      - Mental Retardation Services
      - Community Services (FYs 1977-84)
    - DD Services (FYs 1980-84)
    - Pilot Program for Autistic Citizens (FYs 1982-84)
    - Services for Persons with Autism (FYs 1983-86)
    - Hepatitis "B" Screening & Vaccine (FYs 1984-86)
    - Installation of Computer Services in Facilities (FYs 1984-86)
    - Extramural Research (FY 1986 only)
    - Extraordinary Care (FY 1986 only)
    - Salary Augmentation (FY 1986 only)
    - Community Care Waiver (FY 1986 only
    - Early Childhood (FY 1986 only)
    - Staff-to-Patient Ratios (FY 1986 only)
    - Method of Financing (all of the program divisions had the following funding source detail)
      - General Revenue Fund
      - Federal Funds, estimated
      - Earned Federal Funds
      - Private Grants & Departmental Revenue
      - Interagency Contracts
      - Total
  - Supplemental Residential Services for MR (FYs 1978-80)
  - Contract Treatment Services and State Grant-in-Aid
  - Reserve Fund (FY 1977 only)
  - Centralized food purchased fund
  - Construction Program (out of the General Revenue Fund)
  - El Paso State Center for Human Development
  - Rio Grande State Center for Human Development
  - Beaumont State Center for Human Development
  - Amarillo Center for Human Development

State Schools for the Mentally Retarded (13 schools)
Each school budgeted separately with the following subheadings:
- Administration and Staff Development
- Auxiliary Services Program
- Residential Services Program
- Utilities
- Community-Based Residential Services
- Non-residential treatment program
- Interagency Contracts (FYs 1981-86 only)
- Method of Financing (same categories as listed before)

Note on Data Sources. Actual expenditures were obtained from the FY 1980-81 Biennium Executive Budget, the FY 1984-85 and FY 1986-87 Biennium Legislative Budgets, and from numerous personal communications with state agency personnel. The average daily census data for the state centers were obtained from the budget documents and included the estimated MR populations at the Rio Grande and El Paso Centers for Human Development.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included funds for: (1) the budgets of the 13 state schools (excluded were the "community based residential services" and the "non-residential treatment program" portions of each school's budget); (2) 63% of the "Centralized Food Purchase Account," (p.c., telephone, Jim Moore, Department of MH/MR, 8/22/83 and 2/21/86); and (3) prorated MR portion (based on bed capacity) of El Paso and Rio Grande State Centers for Human Development. Federal ICF/MR administrative costs labeled "interagency contract" in the Budget were not included.

The state schools considered were: Abilene, Austin, Brenham, Corpus Christi, Denton, Fort Worth, Lubbock, Lufkin, Mexia, Richmond, San Angelo, San Antonio and Travis.

State General Funds. Federal ICF/MR revenue and the state match was consolidated and budgeted in the General Revenue Fund (GRF). All state schools were funded out of the GRF. In our analysis, ICF/MR funds earned each year by the state facilities were subtracted from the total GRF line and considered Federal ICF/MR funds. The remainder reflected the net state funds budgeted for institutional services, for the purposes of our analysis.

Added to this were the MR portions of the Centralized Food Account, and the general revenue lines for El Paso and Rio Grande centers.

Other State Funds were from the line in the budget documents labeled "Private Grants, and Departmental Revenue." According to Carl Risinger (p.c., telephone, 8/17/83), they included such items as endowments, donations, and "Hogg Fund" expenditures.

Federal ICF/MR Funds for FYs 1977-83 were provided by Jim Dalton, Claims Division, Department of MH/MR (p.c., telephone, 8/22/83). FYs 1984-86 estimates were obtained from Janet Glenn, Claims Division, Department of MH/MR (p.c., telephone, 2/23/86). These were actual cash payments received for each Fiscal Year, not the amounts earned each year, which accounts for the fluctuations, particularly between FYs 1977-79.

Other Federal Funds were from two lines in the budget documents: "Federal Funds, Estimated" and "Earned Federal Funds." According to Carl Risinger, Budget Office, Department of MH/MR (p.c., telephone, 8/17/83), these were small federal grant programs such as Title I ESEA.

III. COMMUNITY SERVICES FUNDS

Community services included: (1) the MR portion of the 30 Community MH/MR Centers (CMHMRCs); (2) the "community based residential services" and "non-residential program" lines under each state school and the El Paso Center for Human Development (prorated MR portion only); (3) the Amarillo Center for Human Development and the MR portion (50-60%) of the Beaumont Center; and (4) "Supplemental Residential Services" line in the State's budget documents. Carl Risinger, (p.c., telephone, 8/17/83) said the "Supplemental Residential Services" line was state start-up funds for community ICFs/MR. The "community-based residential services" funds that appeared in the state school budgets paid for group home residences in localities where the CMHMRCs were not developing community residences. DD Council funds were not included in our analysis of community funding. The "Medical Assistance Program" line (which appeared only in FYs 1977-79) was not included in our data. Risinger said this program element was probably state revolving fund matching dollars for community ICFs/MR, which were budgeted in the Department of Human Resources.

The 30 local CMHMRCs were reported in the state budget under the program heading "Contract Treatment Services and State Grants-in-Aid." All MH and MR expenditures were consolidated. To determine how much of the total was spent for MR clients each year, we contacted state personnel. For some of the years MR figures were provided to us from various state CMHMRC Reports.

Local Funds were a major part of the CMHMRCs' budgets. They included patient fees, contributions, United Way funds and other locally raised funds. They were not included in our analysis at this time.

State General Funds included the MR portion of the CMHMRCs general revenue funds, labeled, "Contract Treatment Services," in the budget, the prorated MR portion of the Amarillo and Beaumont Centers' general revenue funds, the community-based expenditures within the State Center budget, and the state share of Title XIX funding.

Other State Funds included contract work income that the CMHMRCs do for other state agencies (p.c., telephone, J. Schorr, 9/15/83).

Private ICF/MR. In Texas, all community-based ICFs/MR were funded through the local CMHMR Boards. Some Boards operated their own ICFs/MR and some contracted with private providers. David Cook, Department of Human Resources (p.c., telephone, 8/22/83 and 4/10/86), provided expenditure figures for the private providers.

The proportions of funds expended on "small" and "large" facilities in the FY 1977-86 period was provided by Cook (p.c., telephone, 4/10/86 and 9/2/86). There were small amounts of ICF/MR funding to small private operators in the FY 1977-78 period though Cook indicated it would be impossible to retrieve exact expenditure figures. According to Cook, there was a decline in funding from FY 1984 to FY 1985 due to sanctions imposed on providers for quality violations and a modest reduction in the number of eligible providers.

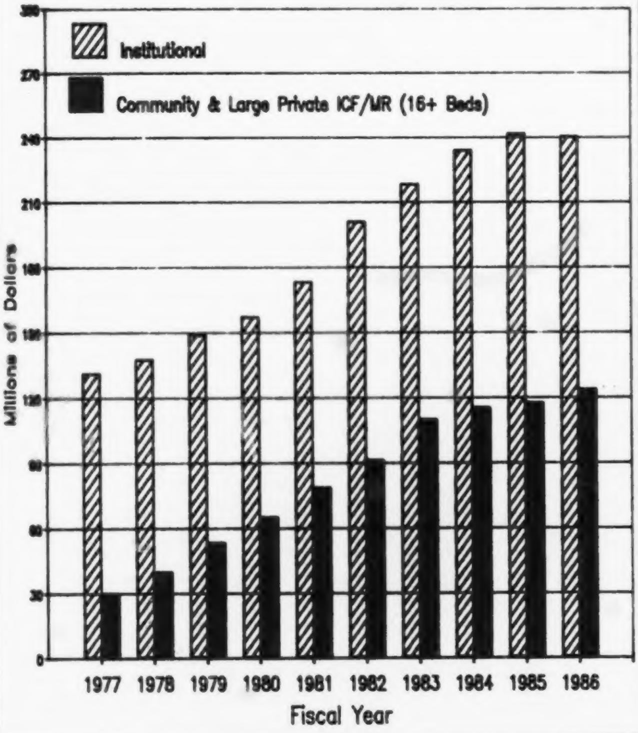
Title XIX Day Program. Title XIX CMHMRC funding was employed in support of a case management program, called the "Liaison Workers Program." FYs 1977-82 figures were provided by H. Johnson, Accounting and Management, Department of MH/MR (p.c., correspondence, 9/12/83); FYs 1983-86 data were identified by Art Thompson, Department of MH/MR (p.c., telephone, 4/22/86).

Waiver. A Waiver was approved in mid-FY 1985 but actual implementation of services did not begin until FY 1986. Approximately 40 individuals were served under the Waiver in that year. Federal share was estimated to be $354 thousand in FY 1986; sate share was provided jointly by Department of MH/MR and the Department of Human Services.

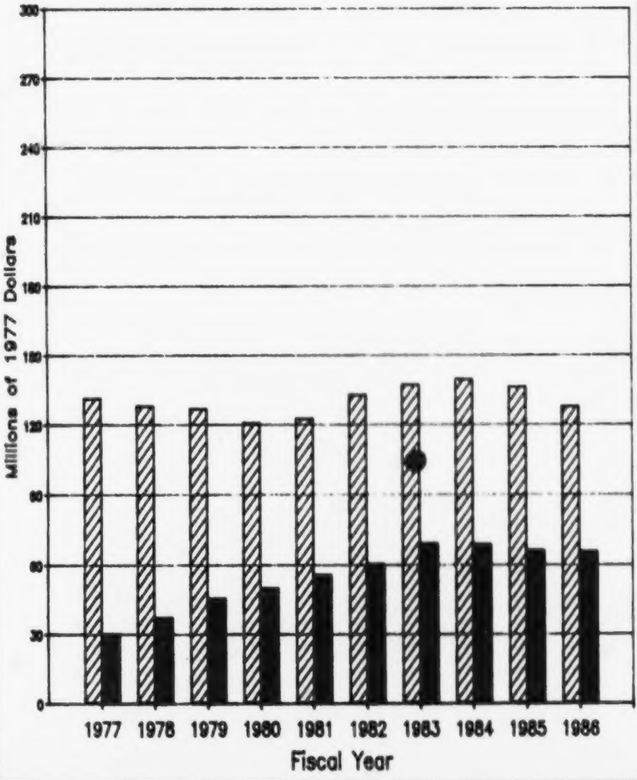
Federal Title XX/SSBG. According to Jim Schorr, Title XX funds at the CMHMRC were used for MH rather than MR clients, in accord with the State Title XX Plan.

Other Federal Funds were primarily Vocational Rehabilitation funds.

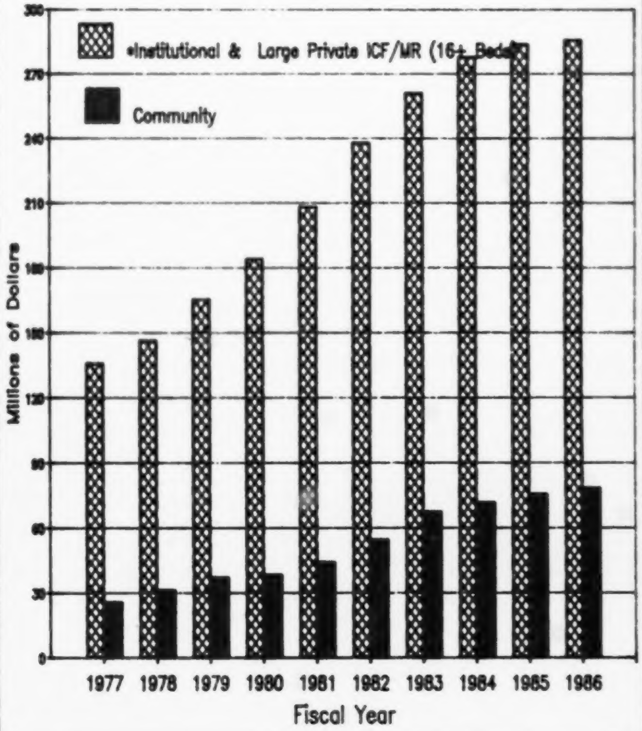
MR/DD Expenditures for *Institutional* & *Community* Services



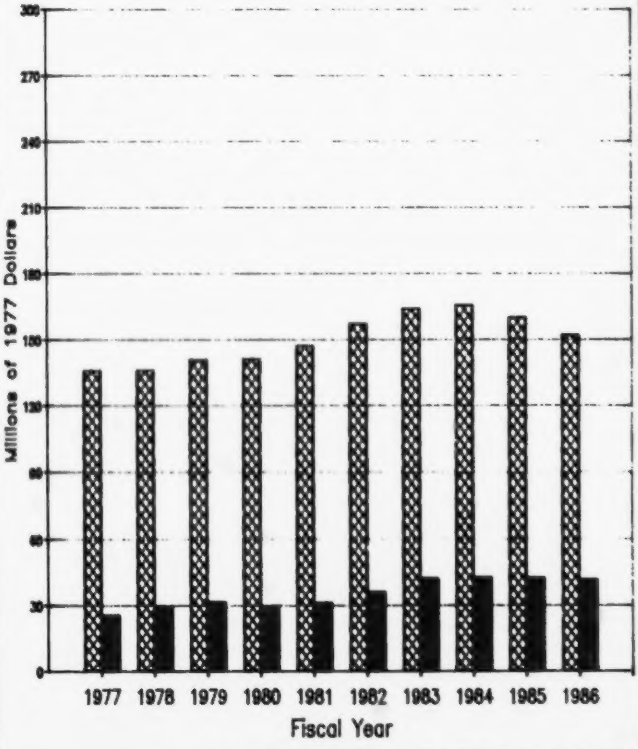
Adjusted for Inflation



MR/DD Expenditures for Large Congregate* & Community Services



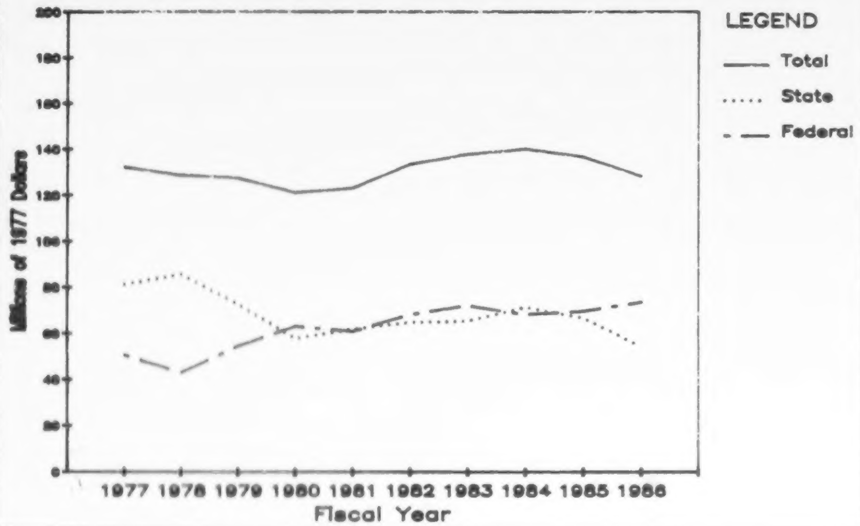
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

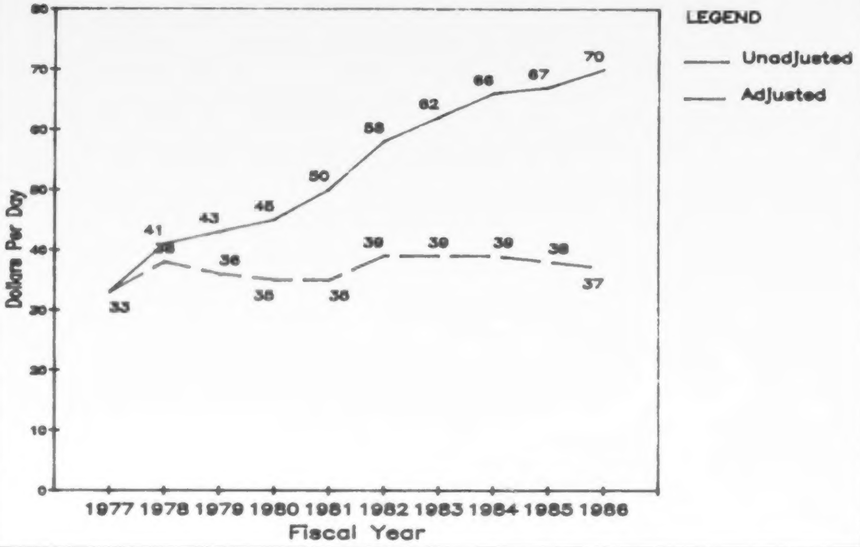
TEXAS

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86

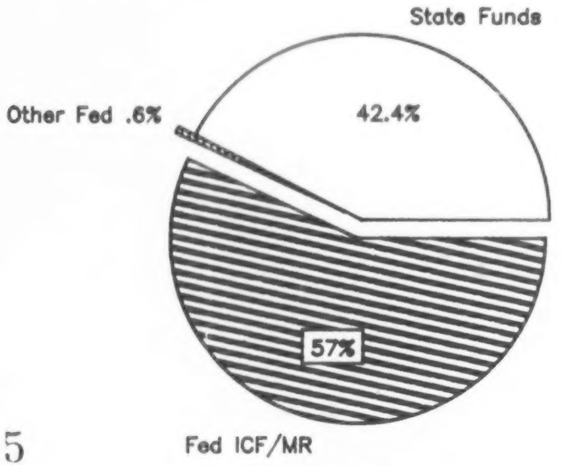


TEXAS

Institutional Per Diem Costs: FY 1977–86



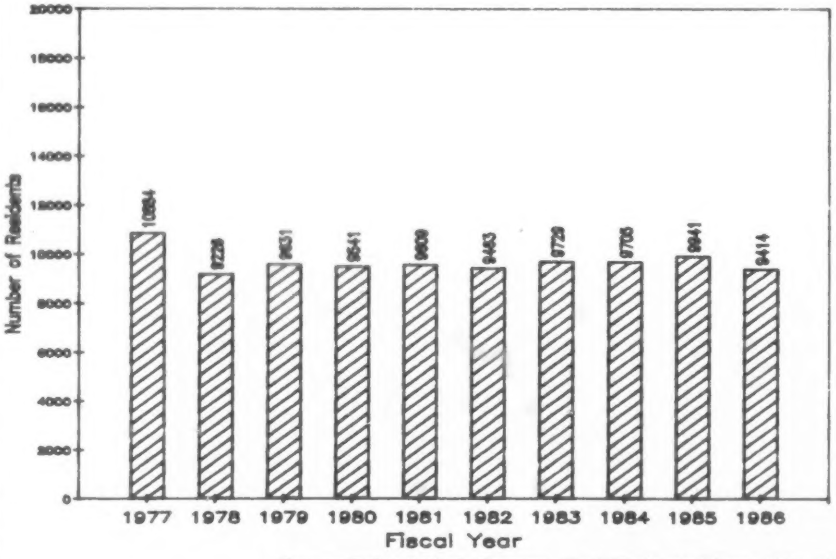
Institutional Revenue Detail: FY 1986 (Unadjusted)



635

FY 1986 Total Funds: $241.0 Million

Average Daily Residents in Institutions



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

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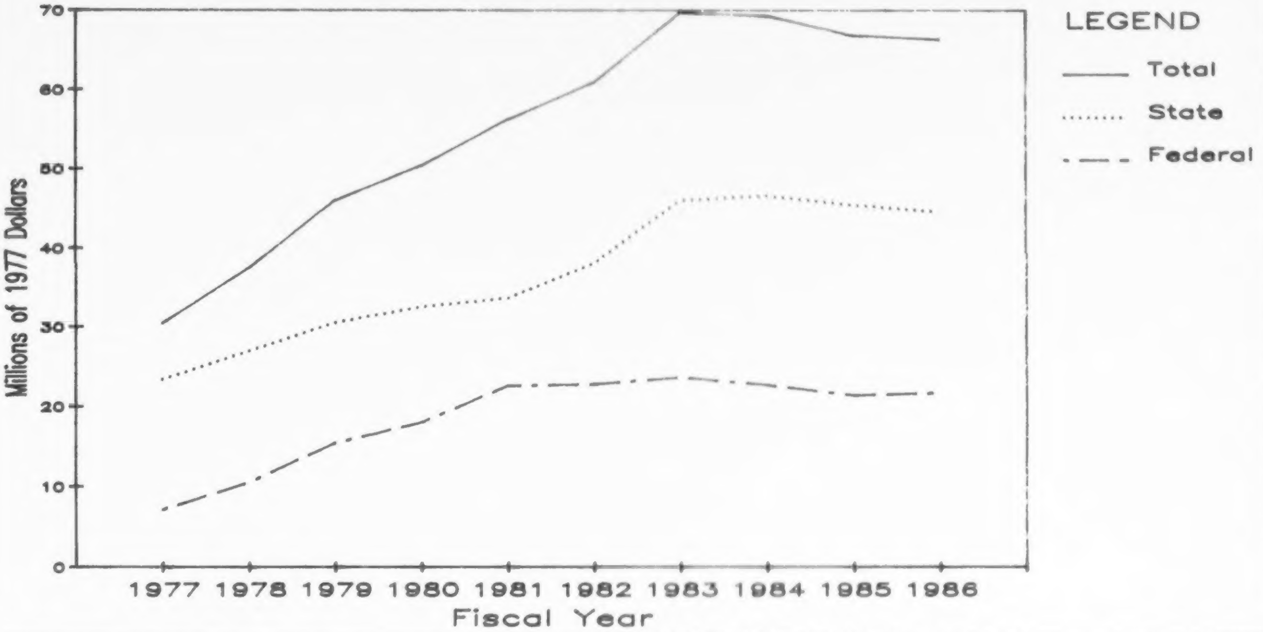
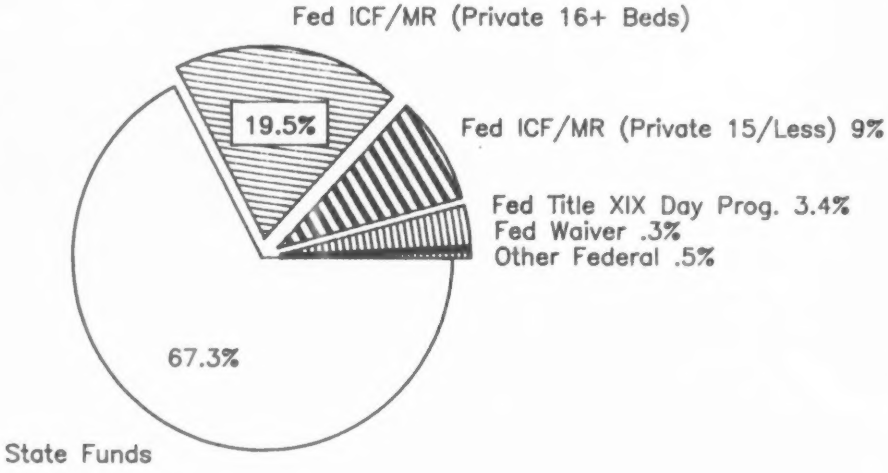
TEXAS

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)



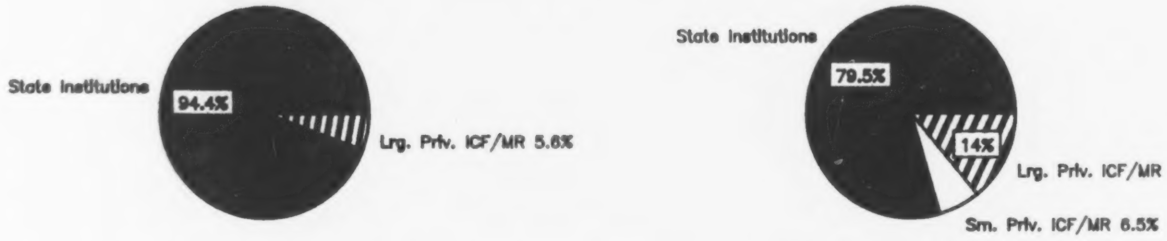
FY 1986 Total Funds: $124.4 Million

637

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

TEXAS

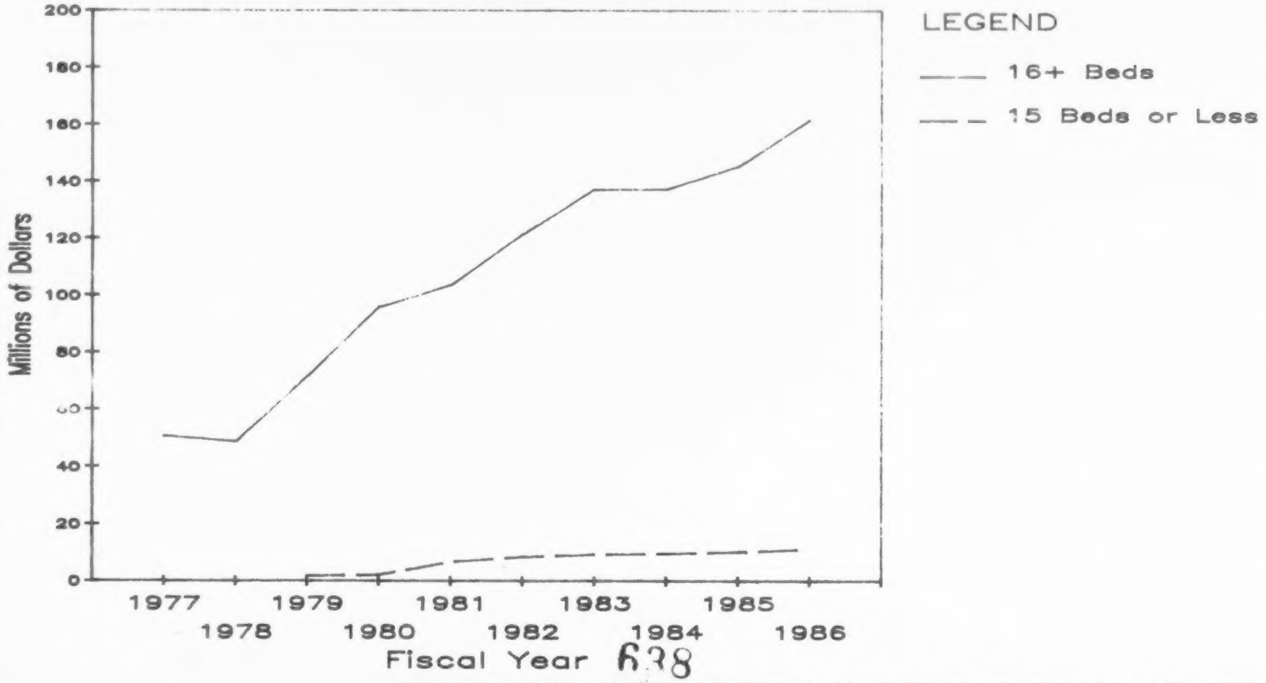
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $50.6 Million

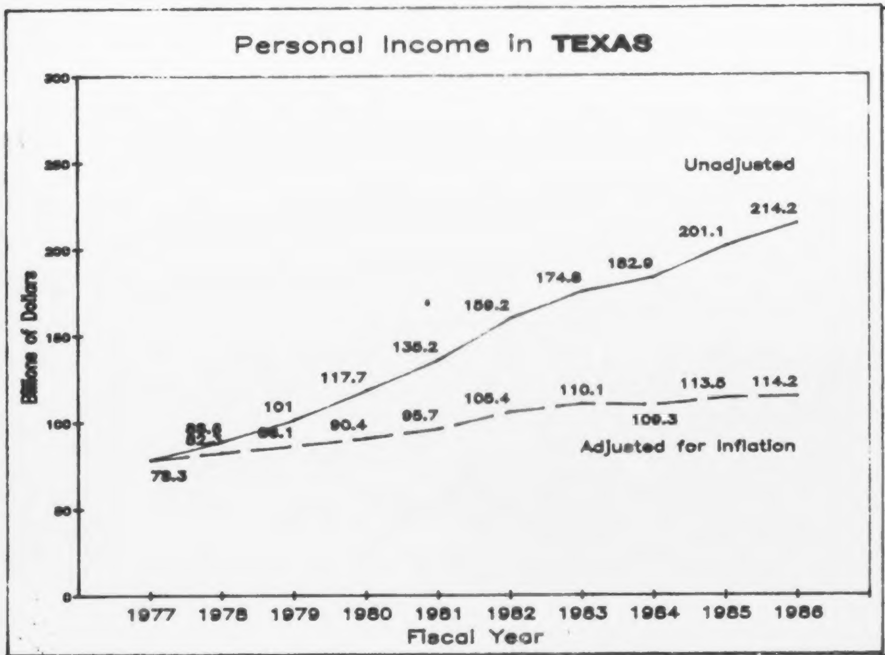
FY 1986 Total Federal Funds: $172.8 Million

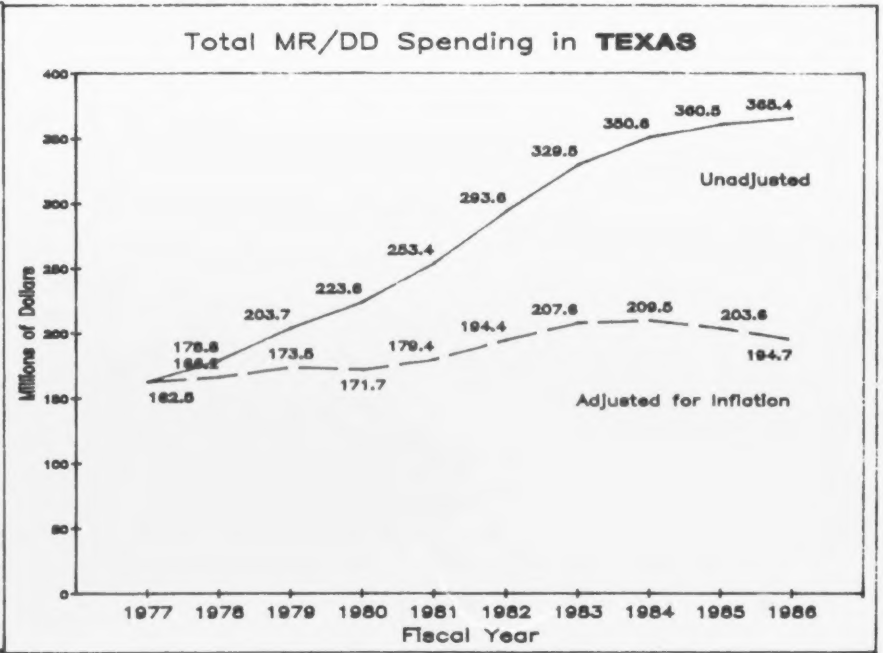
By Facility Size, FY 1977–86

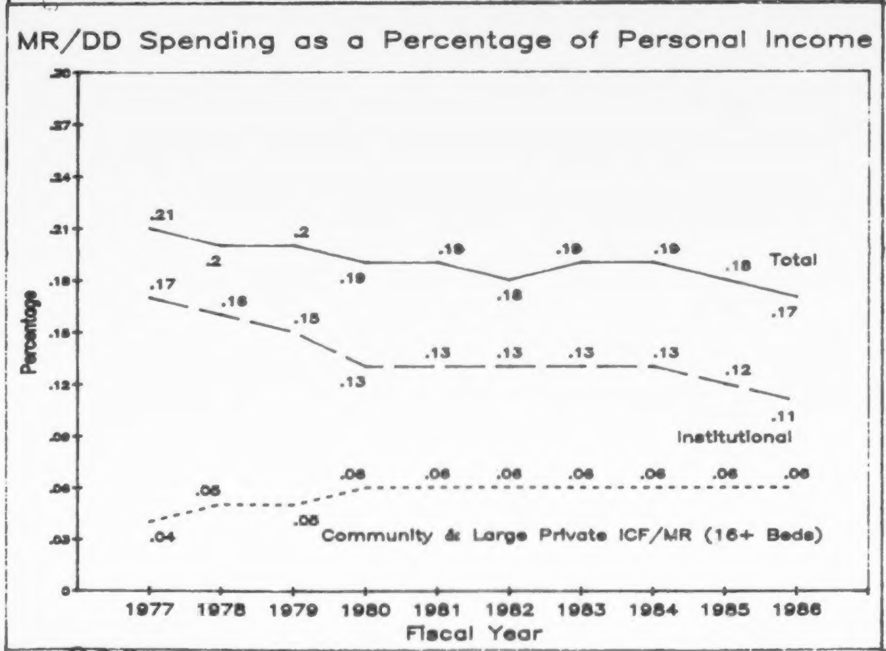


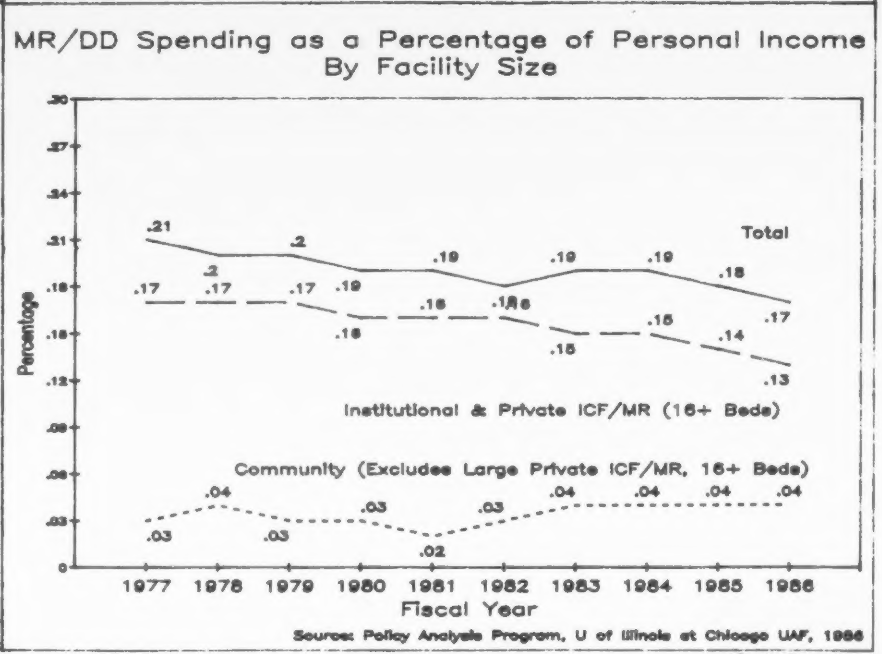
638

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986


Personal Income in **TEXAS**


Total MR/DD Spending in **TEXAS**


MR/DD Spending as a Percentage of Personal Income


MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

TEXAS 5/19/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	218,486,000	242,334,000	274,139,000	304,555,000	352,924,000	404,650,000	448,392,600	480,455,900	491,507,900	518,119,300
TOTAL INSTITUTIONAL/COMMUNITY	162,460,000	178,767,000	203,678,000	223,551,000	253,413,000	293,641,000	329,497,600	350,597,900	360,472,900	365,367,300
STATE FUNDS	104,767,000	121,394,000	121,527,000	117,799,000	135,256,000	155,761,000	177,178,800	197,919,900	198,882,200	186,042,700
General Funds	103,944,000	120,628,000	120,691,000	116,928,000	132,542,000	152,184,000	173,154,700	193,741,900	194,644,700	181,638,500
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	823,000	766,000	836,000	871,000	2,714,000	3,577,000	4,024,100	4,178,000	4,237,500	4,404,200
FEDERAL FUNDS	57,693,000	57,373,000	82,151,000	105,752,000	118,157,000	137,880,000	152,318,800	152,678,000	161,590,700	179,324,600
Title XIX Funds	54,162,000	53,795,000	78,666,000	102,540,000	114,551,000	134,441,000	150,457,400	150,810,900	159,576,200	177,294,700
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	3,531,000	3,578,000	3,485,000	3,212,000	3,606,000	3,439,000	1,861,400	1,867,100	2,014,500	2,029,900
INSTITUTIONAL SERVICES FUNDS	131,964,000	138,415,000	149,633,000	157,882,000	174,014,000	201,664,000	218,877,700	234,585,800	242,278,200	240,983,300
STATE FUNDS	81,382,000	92,323,000	85,566,000	75,524,000	87,711,000	98,170,000	104,154,300	119,963,700	118,521,700	102,288,100
General Funds	81,382,000	92,323,000	85,566,000	75,524,000	86,202,000	96,605,000	102,287,000	118,027,600	116,591,300	100,288,700
Other State Funds	0	0	0	0	1,509,000	1,565,000	1,867,300	1,936,100	1,930,400	1,999,400
FEDERAL FUNDS	50,582,000	46,092,000	64,067,000	82,358,000	86,303,000	103,494,000	114,723,400	114,622,100	123,756,500	138,695,200
Federal ICF/MR	47,789,000	43,432,000	61,551,000	80,017,000	83,195,000	100,617,000	113,449,000	113,365,000	122,383,000	137,338,300
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	2,793,000	2,660,000	2,516,000	2,341,000	3,108,000	2,877,000	1,274,400	1,257,100	1,373,500	1,356,900
COMMUNITY WITH FEDERAL INCOME MAINT	86,522,000	103,919,000	124,506,000	146,673,000	178,910,000	202,986,000	229,514,900	245,870,100	249,229,700	277,136,000
COMMUNITY SERVICES FUNDS	30,496,000	40,352,000	54,045,000	65,669,000	79,399,000	91,977,000	110,619,900	116,012,100	118,194,700	124,384,000
STATE FUNDS	23,385,000	29,071,000	35,961,000	42,275,000	47,545,000	57,591,000	73,024,500	77,956,200	80,360,500	83,754,600
General Funds	22,562,000	28,305,000	35,125,000	41,404,000	46,340,000	55,579,000	70,867,700	75,714,300	78,053,400	81,349,800
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	823,000	766,000	836,000	871,000	1,205,000	2,012,000	2,156,800	2,241,900	2,307,100	2,404,800
FEDERAL FUNDS	7,111,000	11,281,000	18,084,000	23,394,000	31,854,000	34,386,000	37,595,400	38,055,900	37,834,200	40,629,400
ICF/MR Funds	2,861,000	5,305,000	11,596,000	17,822,000	26,901,000	29,174,000	33,070,000	33,508,200	32,978,500	35,425,700
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	1,623,600	2,003,400	6,603,900	8,385,300	9,317,500	9,593,900	10,149,500	11,193,900
Large Private	2,861,000	5,305,000	9,972,400	15,818,600	20,297,100	20,788,700	23,752,500	23,914,300	22,829,000	24,231,800
Other Title XIX Funds	3,512,000	5,058,000	5,519,000	4,701,000	4,455,000	4,650,000	3,938,400	3,937,700	4,214,700	4,530,700
Title XIX Day Programs	3,512,000	5,058,000	5,519,000	4,701,000	4,455,000	4,650,000	3,938,400	3,937,700	4,214,700	4,176,300
Waiver	0	0	0	0	0	0	0	0	0	354,400
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	738,000	918,000	969,000	871,000	498,000	562,000	587,000	610,000	641,000	673,000
FEDERAL INCOME MAINTENANCE	56,026,000	63,567,000	70,461,000	81,004,000	99,511,000	111,009,000	118,895,000	129,858,000	131,035,000	152,752,000
Suppl. Security Income (SSI)	36,395,000	41,752,000	45,024,000	50,796,000	61,575,000	68,790,000	73,311,000	82,744,000	90,062,000	97,727,000
Childhood Disability (SSDI)	19,631,000	21,815,000	25,437,000	30,208,000	37,936,000	42,219,000	45,584,000	47,114,000	40,973,000	55,025,000
F.F.P. Rate	63.59%	61.39%	60.66%	58.93%	58.35%	56.40%	55.75%	54.72%	54.37%	53.56%
Daily Institutional Population	10,884	9,226	9,631	9,541	9,609	9,463	9,729	9,705	9,941	9,414
Institutional Per Diem	33.22	41.10	42.57	45.21	49.62	58.39	61.64	66.04	66.77	70.13

UTAH

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Institutional and community services in Utah are administered by the Division of Services to the Handicapped within the Department of Social Services. Prior to July 1, 1983, the MR/DD programs were located in a sub-division within the Division of Family Services. Currently, within the Division of Services to the Handicapped, institutional services are provided at the Utah State Training School. Community services are managed by the Division in fourteen regions throughout the state.

Budget Format. The Division of Services to the Handicapped budget format as indicated in the Utah Annual Budgets, was:

- Department of Social Services
  - Division of Services to the Handicapped
    - MR/DD Program (Revenues)
      - General Fund
      - Federal Funds
      - Dedicated Credits
    - MR/DD Program (Expenditures)
      - State Office--Administration
      - Community (Purchased) Services
      - State Training School

Note on Data Sources. Utah Annual Budget documents were reviewed for FY 1979, and FYs 1981-83. These documents provided "actual" expenditure figures for FYs 1979-81; "estimated" expenditure figures for FY 1978; "experienced" dollar figures for FY 1977; "authorized" figures for FY 1982; and "Governor's Recommendation" for FY 1983. Review of these documents disclosed that funding source details were not available for the Utah State Training School nor for Community (Purchased) Services for any of the fiscal years. For FY 1977 and '78, there were no figures in the documents for Purchased Services. Initial phone contact was made with the office of the Director of the Division; we were referred to Pam Wilson, Budget and Accounting Officer, Office of Administrative Services, Finance Bureau, Department of Social Services. Wilson (p.c., correspondence, 11/8/83) provided "actual" fund source figures for our analysis for FYs 1979-83, and "appropriation" figures for FY 1984. The FY 1977 and FY 1978 figures, and updates on the other years' expenditures and fund sources were provided by Gary Clay of the Utah State Training School (p.c., telephone, 11/14/83). Clay also provided census figures for the Training School ("average resident count, for full-time residents").

Utah State Training School figures for FY 1985 were provided by Fred Weidner, Bureau of Finance, Division of Services to the Handicapped (p.c., telephone, 1/30/86). FY 1986 figures were from Gary Clay, Training School (p.c., telephone, 2/4/86). Clay also provided the average daily population figures for the Training School for FYs 1984-86.

Community services were reimbursed by the ICF/MR program, which supported day programs, pre-school services and group homes. Weidner (p.c., telephone, 3/27/86) provided figures for FYs 1984-86 on community services spending, including the Federal XIX reimbursements for 8-bed group homes. Other Federal XIX amounts were assigned to the analysis category "Title XIX Day Program."

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of funds for the Utah State Training School.

Other State Funds was primarily parent payments for children under 18 years of age, and miscellaneous collections.

Federal ICF/MR figures reported in correspondence from the agency included both state and Federal shares; therefore Utah's Federal/State match rates (provided by the Health Care Financing Administration in Washington, DC) were utilized.

Other Federal Funds consisted of education grants, social security payments to individuals, CHAMPUS, and deaf/blind grants (p.c., telephone, G. Clay, 11/14/83). Clay noted that the nearly 50% drop in "Other Federal Funds" between FY 1977 and FY 1978 was due to the decrease in an education grant for autism services.

III. COMMUNITY SERVICES FUNDS

Community services consisted of purchased services managed by the Division of Services to the Handicapped, and the various Federal revenues as noted below.

Small Public ICF/MR consisted of 120 beds in FY 1986.

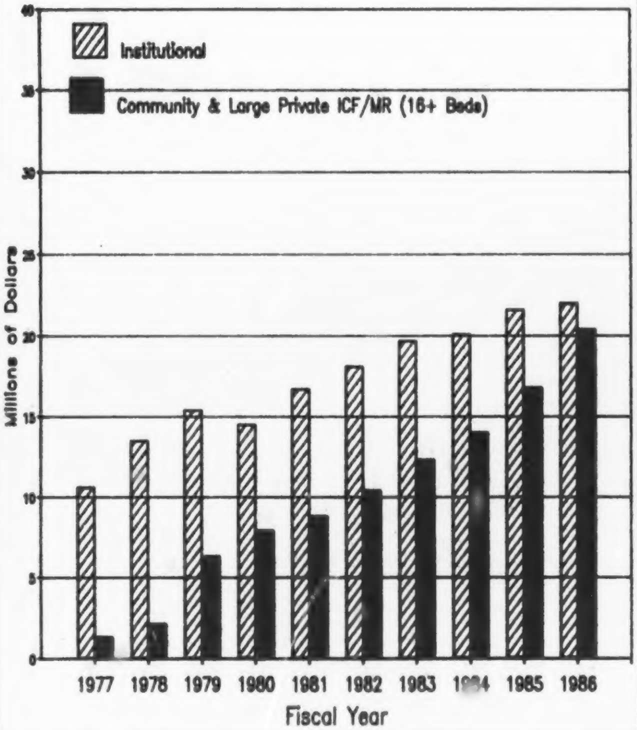
Private ICF/MR expenditure figures were provided by Irv Ratcliffe, Research Analyst, Health Care Financing, Utah Department of Health (p.c., telephone, 11/18/83). Ratcliffe provided total "IMR" expenditures, for both the training school and eight private facilities. J. Jackson (p.c., telephone, 11/14/83) had indicated that these facilities ranged in size from 30 to 112 beds (average size 69 beds, total 549 beds). We subtracted the institutional services figures provided by G. Clay (p.c., telephone, 11/14/83) from the Utah Department of Health figures to arrive at the Private ICF/MR totals. (HCFA match rates were utilized to determine Federal and state shares. Irv Ratcliffe, Health Care Financing Division, (p.c., telephone, 2/4/86; 3/26/86) provided expenditure figures for FY 1984-86. He indicated that there were six to seven facilities, with an average size of approximately 70 beds.

Title XIX Day Program. Expenditures were for day programs for the mentally retarded, consisting of sheltered workshops, pre-school services, etc. (p.c., telephone, J. Jackson, 11/15/83). These were Medicaid "vendor services" which had previously been funded by Title XX.

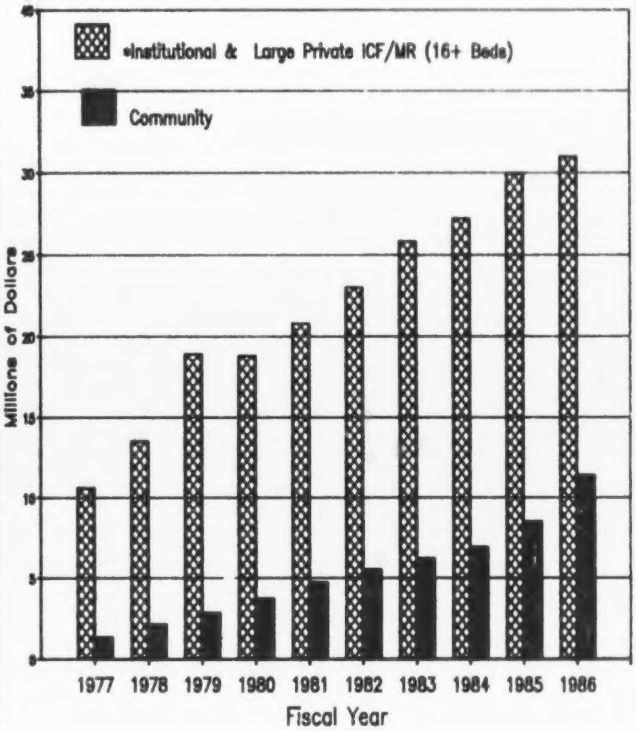
Title XX/SSBG. Figures for FYs 1977-81 represented Title XX Federal funds. FYs 1982-86 figures were MR/DD revenues under the Social Services Block Grant Program.

Other Federal Funds consisted of education grant funds for an autism program.

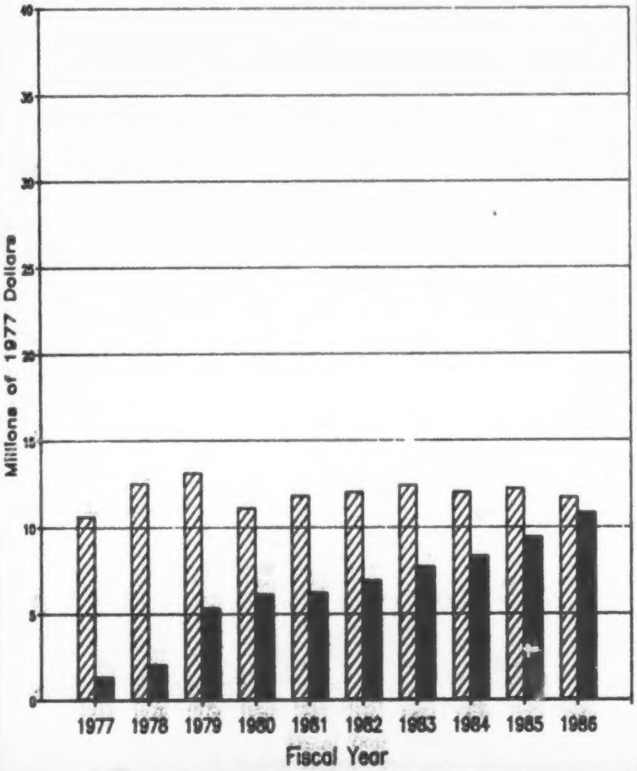
MR/DD Expenditures for *Institutional* & *Community* Services



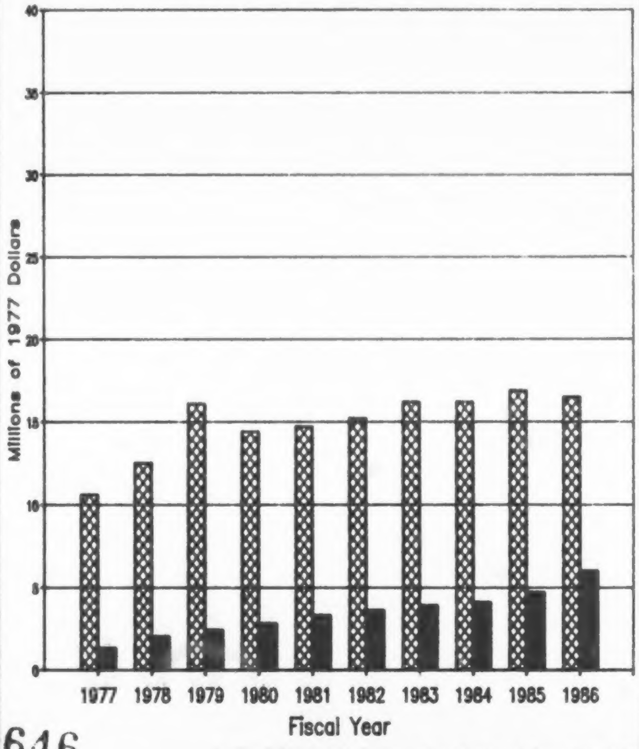
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



Adjusted for Inflation



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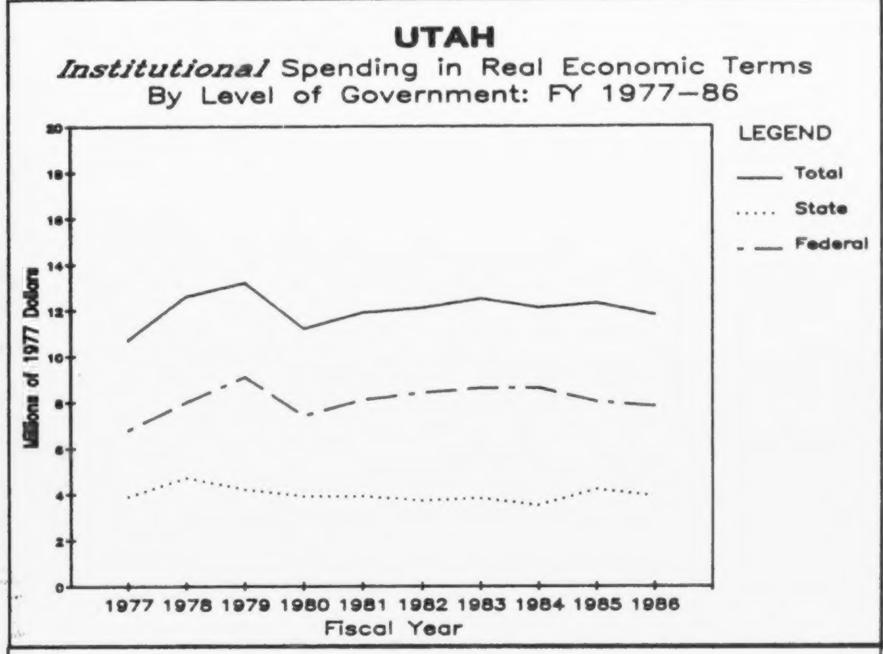
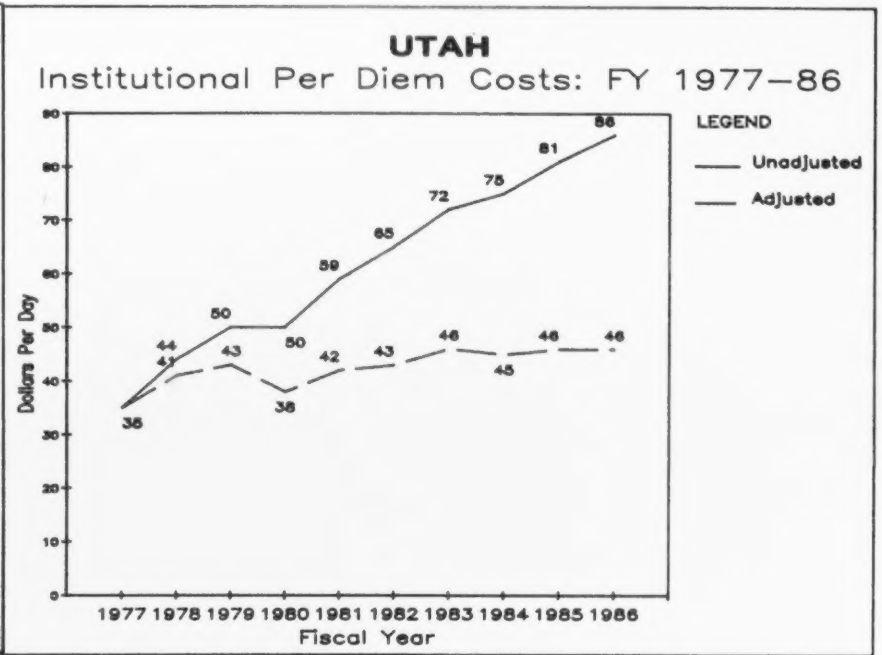
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986



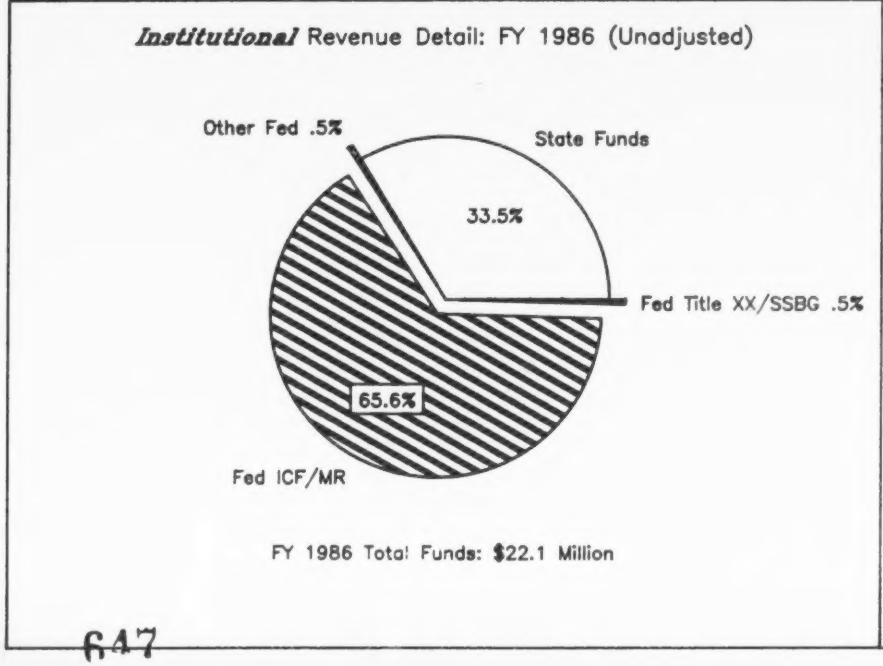
UTAH

Institutional Spending in Real Economic Terms By Level of Government: FY 1977–86



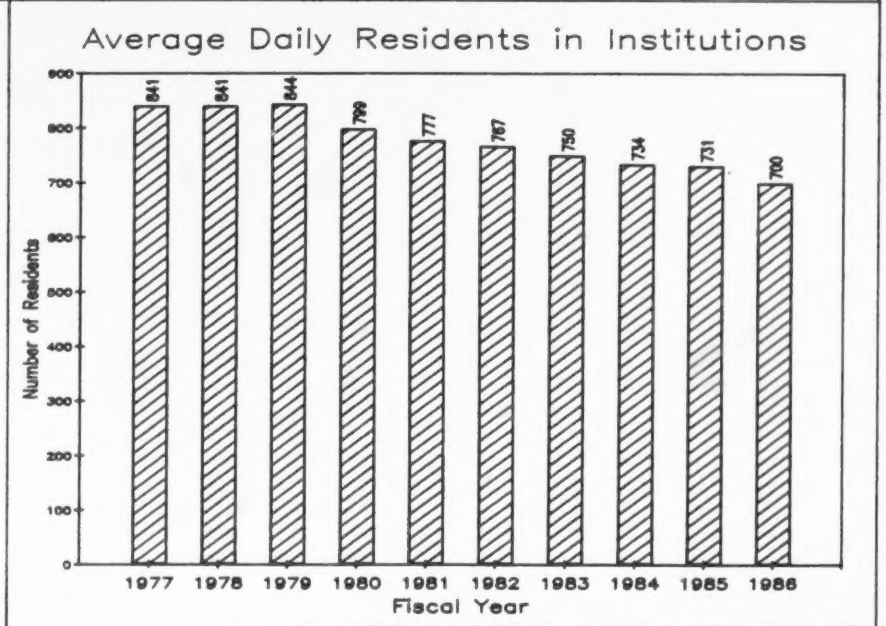
UTAH

Institutional Per Diem Costs: FY 1977–86



Institutional Revenue Detail: FY 1986 (Unadjusted)

FY 1986 Total Funds: $22.1 Million

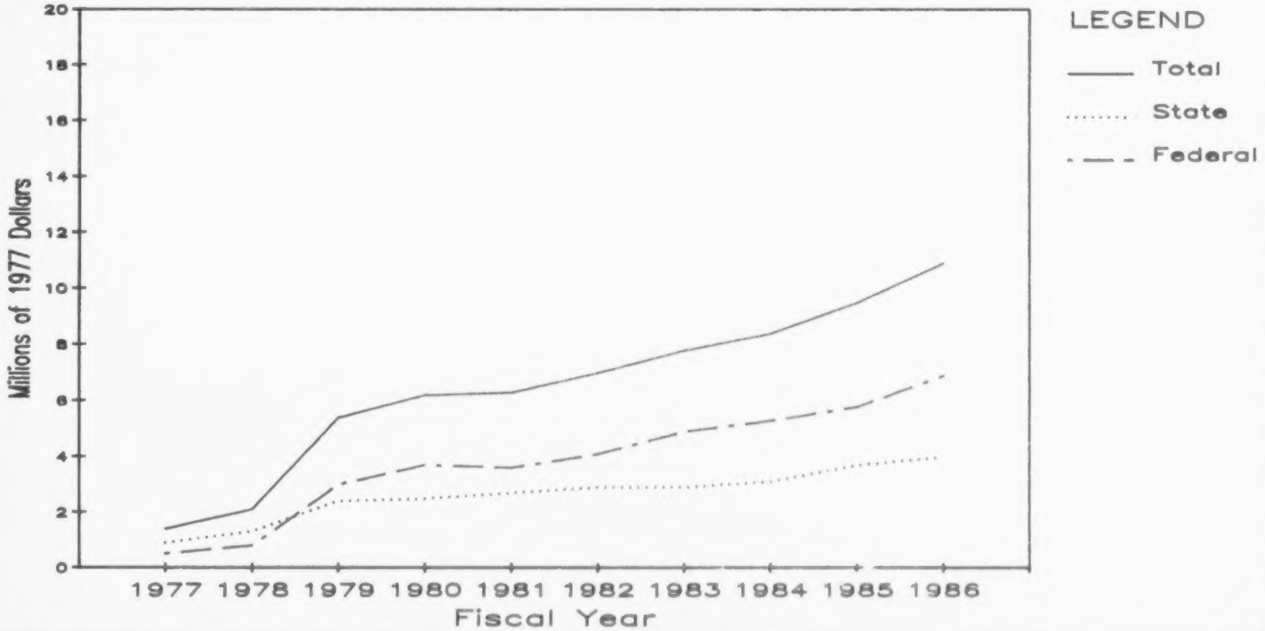


Average Daily Residents in Institutions

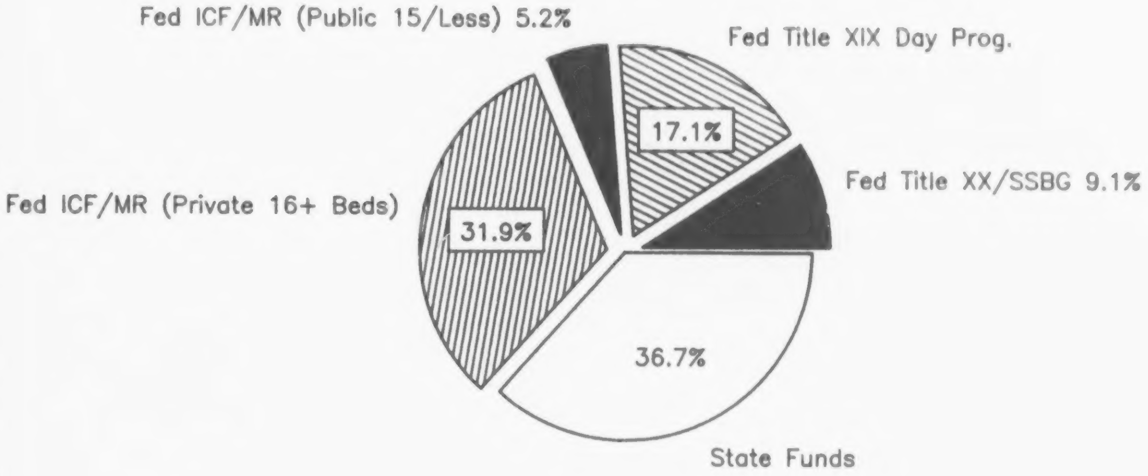
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

UTAH

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

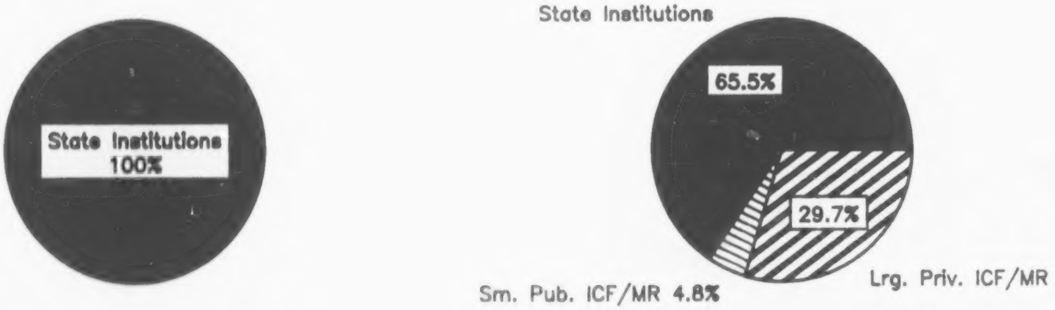


FY 1986 Total Funds: $20.5 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

UTAH

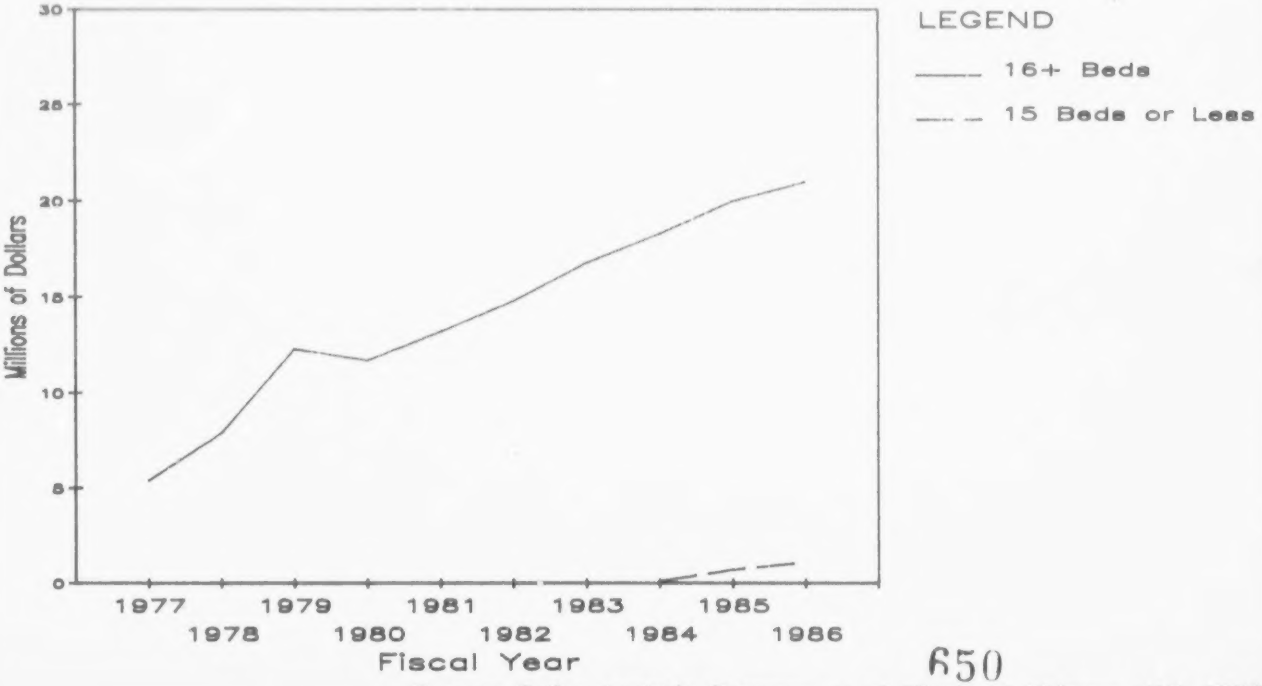
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $5.4 Million

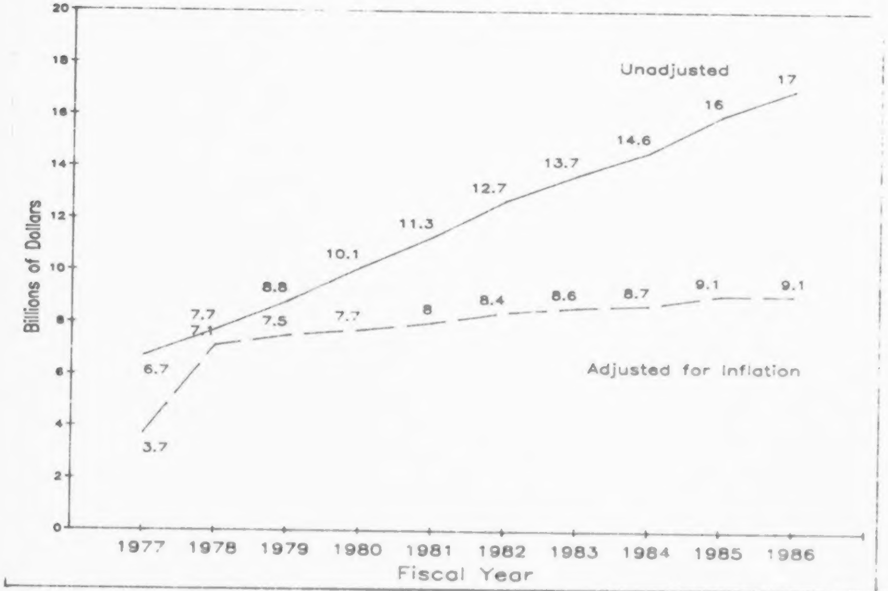
FY 1986 Total Federal Funds: $22.1 Million

By Facility Size, FY 1977—86

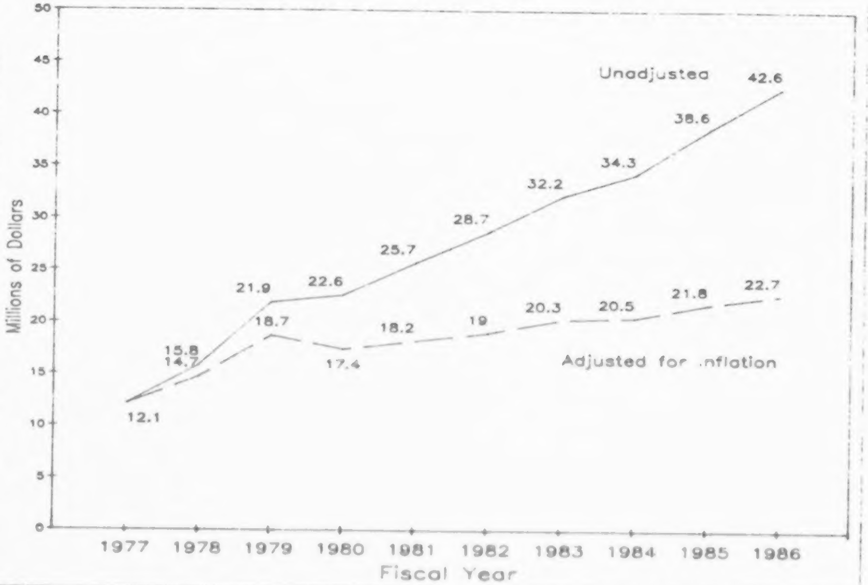


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

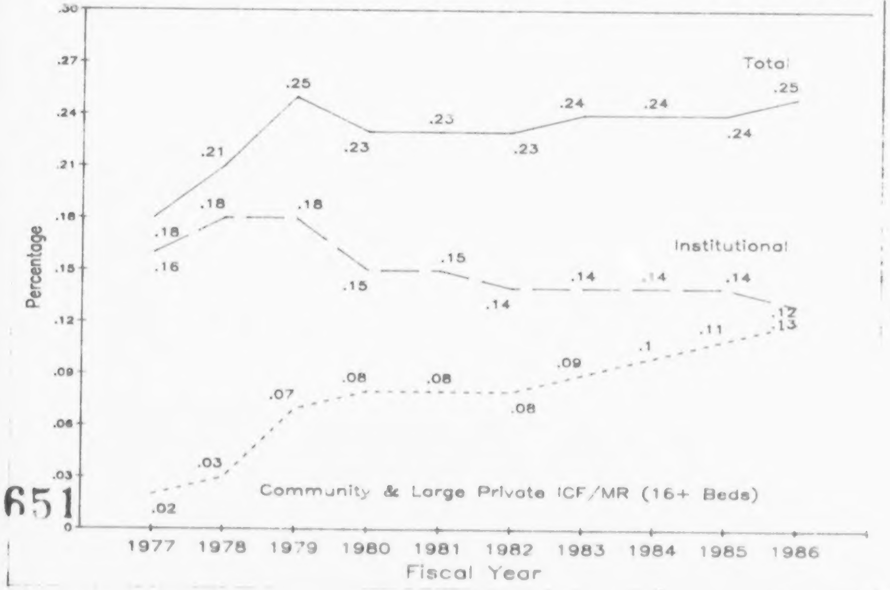
Personal Income in **UTAH**



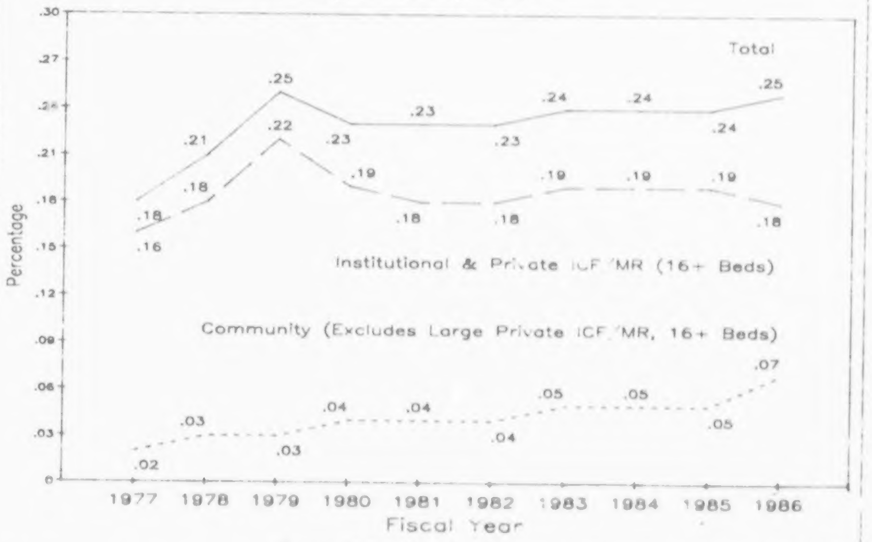
Total MR/DD Spending in **UTAH**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

UTAH 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	16,052,000	19,973,000	26,269,000	27,535,000	31,610,000	35,383,000	39,547,000	42,411,200	48,403,300	52,599,900
TOTAL INSTITUTIONAL/COMMUNITY	12,112,000	15,820,000	21,911,000	22,648,000	25,731,000	28,748,000	32,228,000	34,296,200	38,587,300	42,596,900
STATE FUNDS	4,792,000	6,399,000	7,734,000	8,311,000	9,333,000	9,924,000	10,747,500	11,078,000	14,066,100	14,940,500
General Funds	4,297,000	5,962,000	7,352,000	8,006,000	8,898,000	9,782,000	10,422,500	10,786,000	12,810,100	13,210,800
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	495,000	437,000	382,000	305,000	435,000	142,000	325,000	292,000	1,256,000	1,729,700
FEDERAL FUNDS	7,320,000	9,421,000	14,177,000	14,337,000	16,398,000	18,824,000	21,480,500	23,218,200	24,521,200	27,656,400
Title XIX Funds	5,350,000	7,867,000	12,266,000	11,695,000	13,176,000	15,767,000	18,482,500	20,368,000	22,718,500	25,585,900
Title XX / SSBG Funds	541,000	869,000	1,114,000	1,841,000	2,283,000	1,905,000	1,972,000	1,913,200	1,682,700	1,945,500
Other Federal Funds	1,429,000	685,000	797,000	801,000	939,000	1,152,000	1,026,000	937,000	120,000	125,000
INSTITUTIONAL SERVICES FUNDS	10,717,000	13,580,000	15,546,000	14,623,000	16,839,000	18,203,000	19,829,000	20,227,700	21,733,800	22,060,400
STATE FUNDS	3,938,000	5,028,000	4,891,000	5,040,000	5,460,000	5,578,000	6,107,000	5,845,000	7,483,300	7,404,000
General Funds	3,443,000	4,591,000	4,509,000	4,735,000	5,025,000	5,436,000	5,782,000	5,553,000	6,479,700	5,816,600
Other State Funds	495,000	437,000	382,000	305,000	435,000	142,000	325,000	292,000	1,003,600	1,587,400
FEDERAL FUNDS	6,779,000	8,552,000	10,655,000	9,583,000	11,379,000	12,625,000	13,722,000	14,382,700	14,250,500	14,656,400
Federal ICF/MR	5,350,000	7,867,000	9,859,000	8,802,000	10,414,000	11,396,000	12,612,000	13,368,500	14,140,100	14,456,400
Title XX / SSBG Funds	0	0	0	0	57,000	77,000	84,000	77,200	0	75,000
Other Federal Funds	1,429,000	685,000	796,000	781,000	908,000	1,152,000	1,026,000	937,000	110,400	125,000
COMMUNITY WITH FEDERAL INCOME MAINT	5,335,000	6,393,000	10,723,000	12,912,000	14,771,000	17,180,000	19,718,000	22,183,500	26,669,500	30,539,500
COMMUNITY SERVICES FUNDS	1,395,000	2,240,000	6,365,000	8,025,000	8,892,000	10,545,000	12,399,000	14,068,500	16,853,500	20,536,500
STATE FUNDS	854,000	1,371,000	2,843,000	3,271,000	3,873,000	4,346,000	4,640,500	5,233,000	6,582,800	7,536,500
General Funds	854,000	1,371,000	2,843,000	3,271,000	3,873,000	4,346,000	4,640,500	5,233,000	6,330,400	7,394,200
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	0	0	0	0	0	0	0	0	252,400	142,300
FEDERAL FUNDS	541,000	869,000	3,522,000	4,754,000	5,019,000	6,199,000	7,758,500	8,835,500	10,270,700	13,000,000
ICF/MR Funds	0	0	2,407,000	2,893,000	2,762,000	3,371,000	4,171,000	5,046,100	6,589,100	7,619,000
Small Public	0	0	0	0	0	0	0	90,700	718,700	1,069,400
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	0	0	2,407,000	2,893,000	2,762,000	3,371,000	4,171,000	4,955,400	5,870,400	6,549,600
Other Title XIX Funds	0	0	0	0	0	1,000,000	1,699,500	1,953,400	1,989,300	3,510,500
Title XIX Day Programs	0	0	0	0	0	1,000,000	1,699,500	1,953,400	1,989,300	3,510,500
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	541,000	869,000	1,114,000	1,841,000	2,226,000	1,828,000	1,888,000	1,836,000	1,682,700	1,870,500
Other Federal Funds	0	0	1,000	20,000	31,000	0	0	0	9,600	0
FEDERAL INCOME MAINTENANCE	3,940,000	4,153,000	4,358,000	4,887,000	5,879,000	6,635,000	7,319,000	8,115,000	9,816,000	10,003,000
Suppl. Security Income (SSI)	2,510,000	2,564,000	2,505,000	2,687,000	3,116,000	3,560,000	3,998,000	4,683,000	5,143,000	5,995,000
Childhood Disability (SSDI)	1,430,000	1,589,000	1,853,000	2,200,000	2,763,000	3,075,000	3,321,000	3,432,000	4,673,000	4,008,000
F.F.P. Rate	70.04%	69.25%	68.98%	68.30%	68.07%	68.50%	68.64%	70.29%	70.84%	72.70%
Daily Institutional Population	841	841	844	799	777	767	750	734	731	700
Institutional Per Diem	34.91	44.24	50.46	50.00	59.37	65.02	72.43	75.30	81.46	86.34

VERMONT

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. The Department of Mental Health is within the Agency of Human Services. Within DMH are the following administrative components:

Commissioner's Office
Community Mental Health Programs
Community Mental Retardation Programs
Vermont State Hospital
Brandon Training School

Community and institutional services budgetary components are Community MR Programs and Brandon Training School. Each is a Division, reporting to the Commissioner of the Department of Mental Health.

Budget Format. Vermont's budget documents provided basic expenditure categories and sources of funds for Brandon Training School and for Community MR programs as follows:

- Expenditure categories -
  - Personal services
  - Operating expenses
  - Grants
- Source of funds -
  - General
  - Federal
  - Inter-governmental transfer

Note on Data Sources. State of Vermont Executive Budget documents were reviewed for the FYs 1978-79, FYs 1980-81 and FYs 1984-85 Biennia; and the Executive Budget, Fiscal Year 1983, was also reviewed. From these documents, "actual" expenditure figures were available for FYs 1978, '81 and '82; "revised estimate" expenditures were found for FYs 1977, '79 and '83; and there were "Governor's Recommended" figures for FYs 1980 and '84.

To obtain greater detail on the sources of funds, and to obtain additional clarification of the program structure reflected by the expenditures, we contacted the Community MR Program Office on 9/15/83. Correspondence on 10/27/83 from Theresa A. M. Wood, Administrative Assistant, Community MR Programs, provided "actual expenditures" for FYs 1977-82, "estimated expenditures" for FY 1983 and "requested" expenditure figures for FY 1984, for the Brandon Training School and for Community MR Programs. Wood (p.c., telephone, 6/1/84) provided the Title XIX and State General Fund expenditures for the "Giant Step" program, a unit at Vermont State Hospital providing services to individuals with dual diagnoses of mental retardation and mental illness. The Giant Step program was operational FYs 1978-83, and these expenditures were included in this analysis.

Institutional services expenditure figures (for Brandon) for FYs 1984-86 (audited) were provided by Mark Davis, Budget Office (p.c., telephone, 2/6/86). Figures included approximately $2,000.0 thousand per year in Division of Buildings overhead, which was primarily funds devoted to the maintenance of the facility's grounds. Title I/Special Education, which the state budgets separately, was not included in our analysis.

Expenditure figures for DMH-managed community services were provided in a telephone interview with Mark Davis (2/6/86), for FYs 1984-86. In FY 1986, expenditures consisted of ($ amounts in parenthesis): In-house Staff ($832.0 thousand); Operating, travel ($100.4); Clinic Services ($2,359.0); Support of Persons ($1,700.0); GIA, community support, respite, etc. in grants to 10 community mental health centers ($5,656.3); special project--Champlain Industries ($214.0).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services consisted of expenditures for the Brandon Training School for FYs 1977-86, and for the Giant Step program at Vermont State Hospital (FYs 1978-83 only). Fred Thompson, DMH Business Office (p.c., telephone, 11/4/83) noted that the Federal figures reported for Brandon were almost exclusively Federal ICF/MR reimbursements; and that the figures reported as "Other" for Brandon were inter-departmental transfers, primarily education funds, and mostly Federal in origin. He concurred with our categorization of these as "Other Federal Funds" in this analysis.

III. COMMUNITY SERVICES FUNDS

Community services consisted of funds for the community mental retardation program, and in recent years, private ICFs/MR and the Title XIX Community Care Waiver reimbursement of services.

Private ICF/MR, Small. Vermont statutes required that the community ICF/MR programs be six beds or less. The facilities were either leased by a non-profit community mental health agency from a private owner, or were owned directly by that community agency. Funding was provided directly to the agency by the state's "fiscal intermediary" (Electronic Data Systems). The State's "department of record" or single state agency for receipt of Title XIX Federal funds, was the Department of Social Welfare, which identified a line item in its budget for the ICF/MR program. The Division of Rate-Setting administered rate promulgations and fiscal audits and DMH was responsible for services referrals; case management and client assessments; program approval, and initial budget authorization and rate review for the facilities. Expenditure figures for FYs 1977-86 were provided by T. Peterson (p.c., telephone, 1/13/84).

In FY 1986, there were 12 facilities, 72 average daily residents and a per diem of $103.09. (Note: In FYs 1985 and '86, one facility of 6 beds was paid for by New Hampshire--at a per diem of $120--and these expenditures were not included with Vermont's analysis. Expenditures for FYs 1985-86 were provided by Dave Angolono, Division of Rate Setting (p.c., telephone, 2/17/86).

Waiver. Federal funds from the Community Care Waiver were utilized to provide community-based alternatives for former residents of the Brandon Training School.

Federal Title XX/SSBG state match funds were included within the State General Funds category in our analysis.

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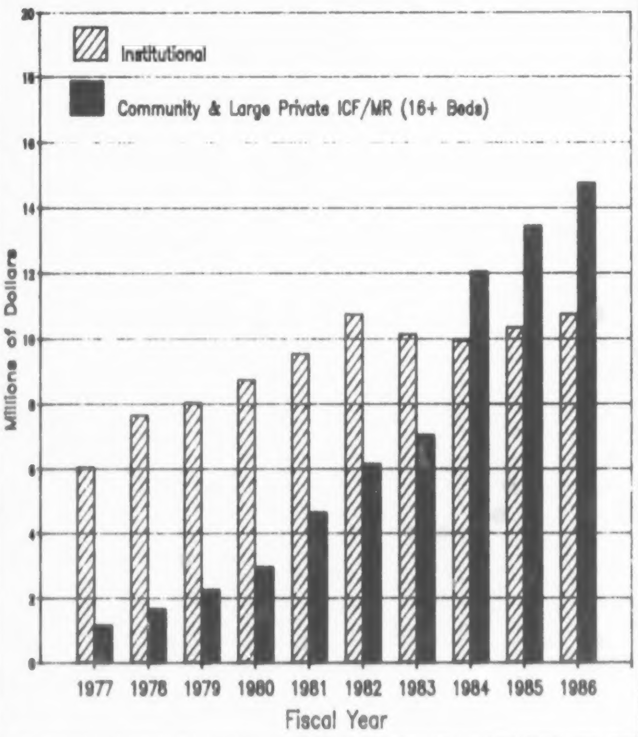
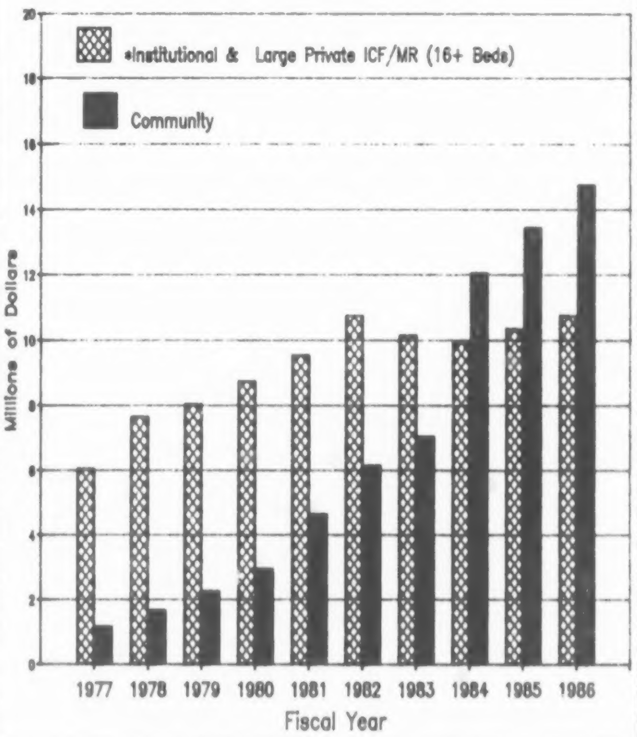
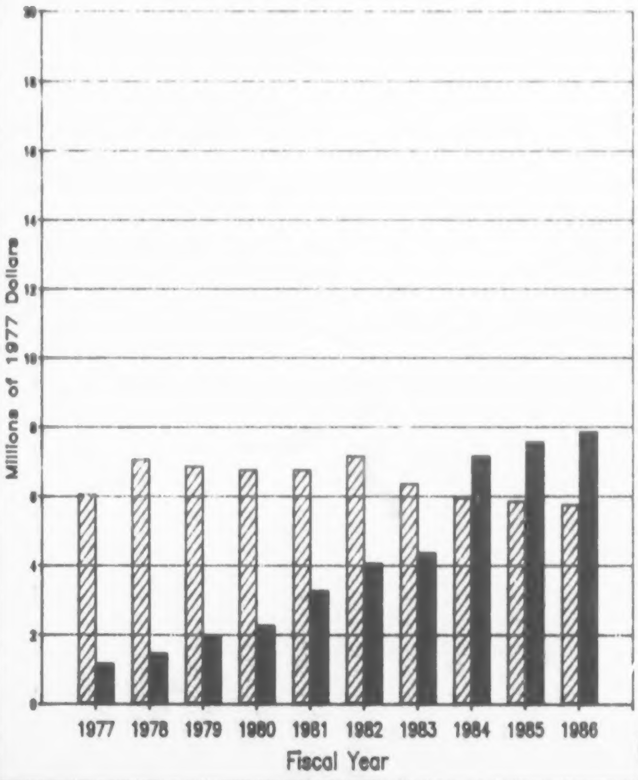
MR/DD Expenditures for *Institutional* & *Community* Services



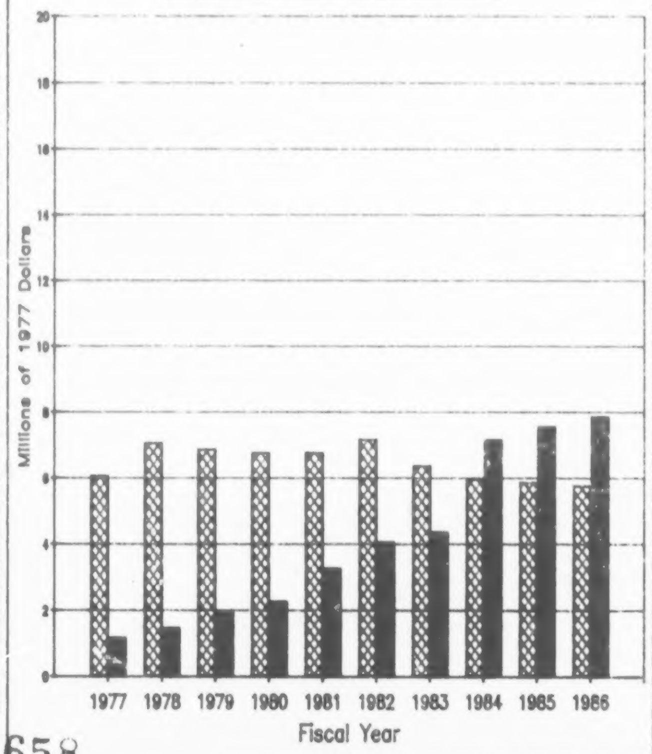
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



Adjusted for Inflation



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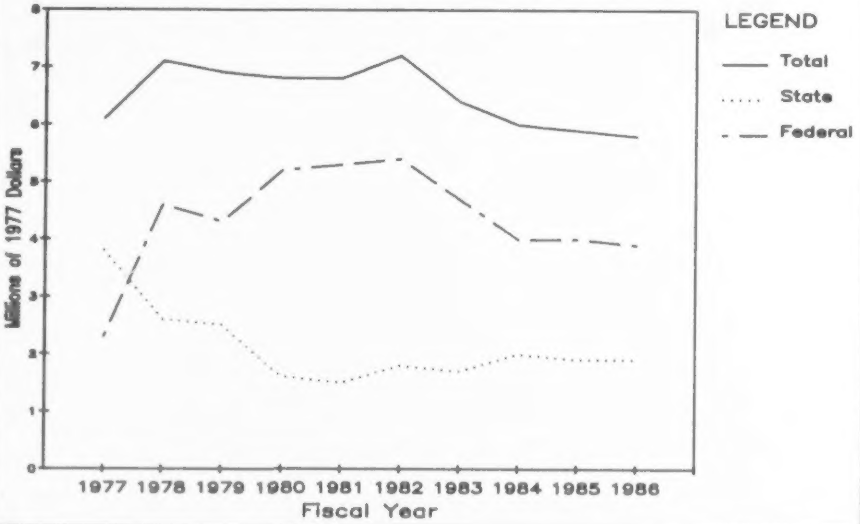
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

VERMONT

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86



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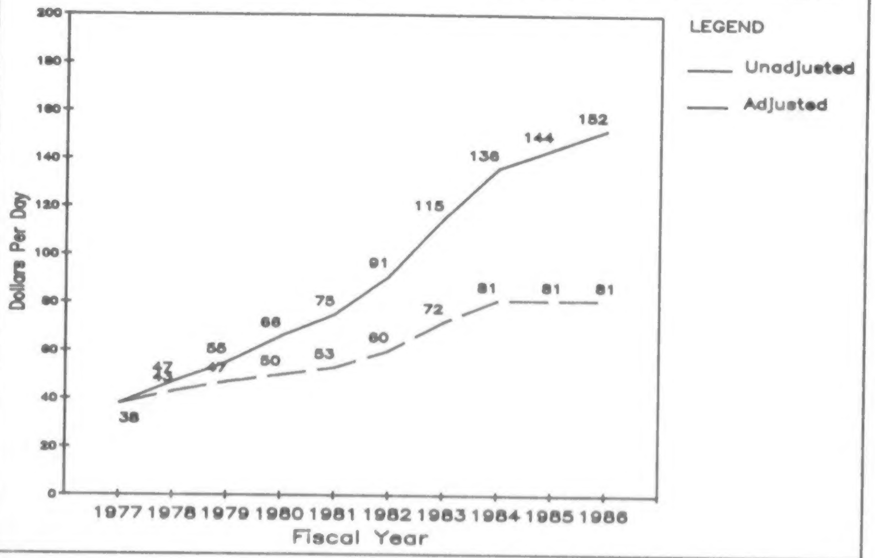
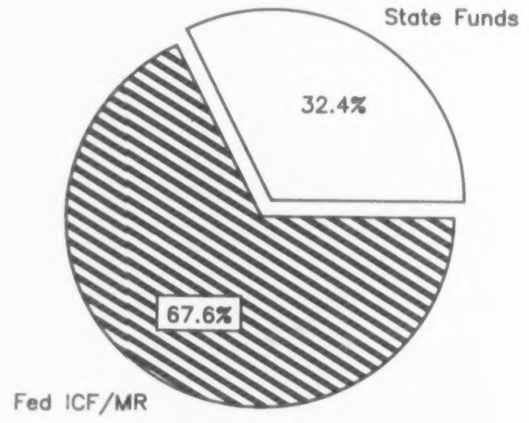
Institutional Per Diem Costs: FY 1977–86

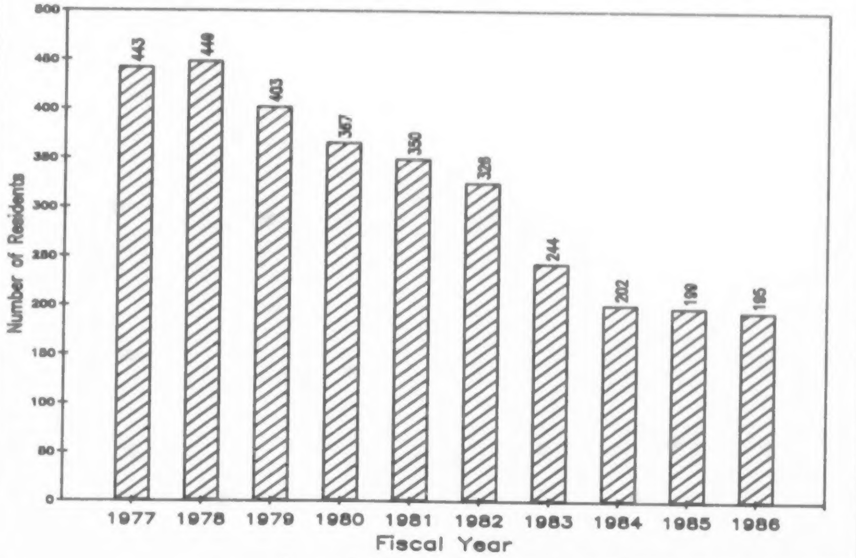


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $10.8 Million

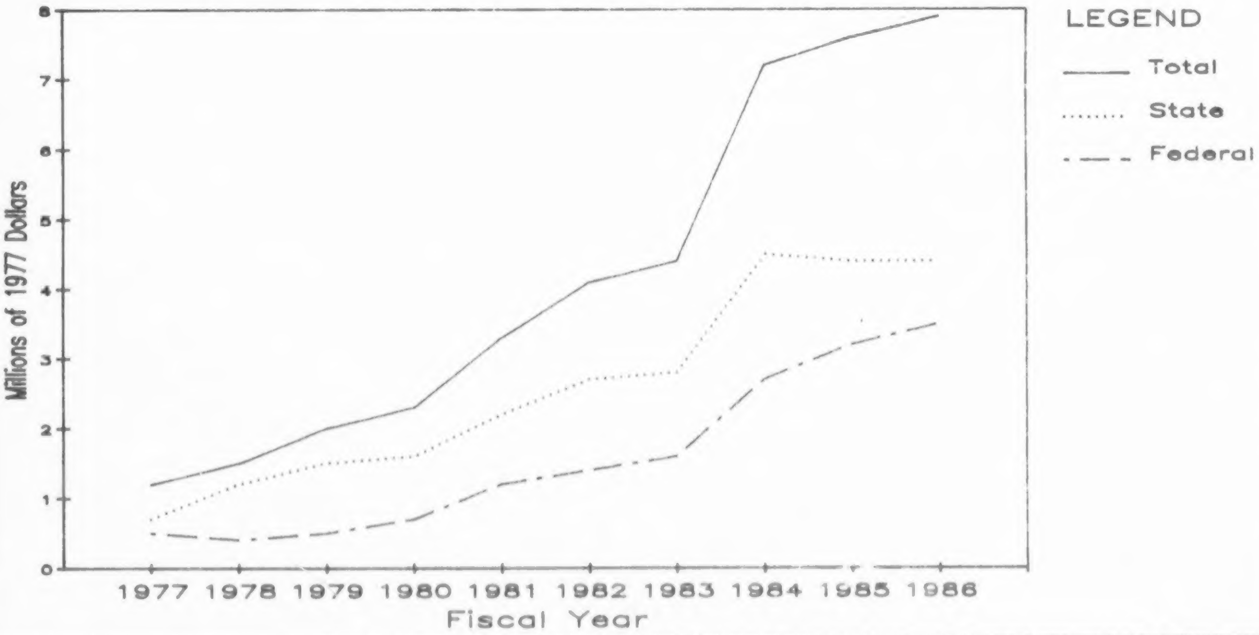
Average Daily Residents in Institutions



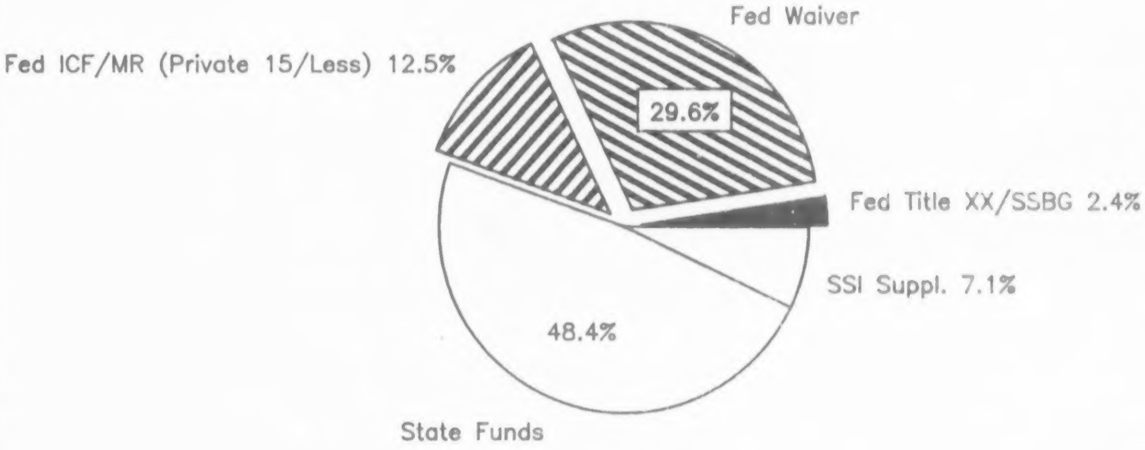
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

VERMONT

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

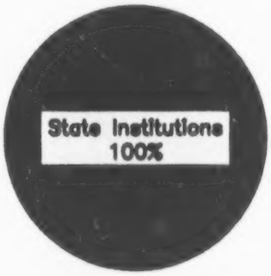


FY 1986 Total Funds: $14.6 Million

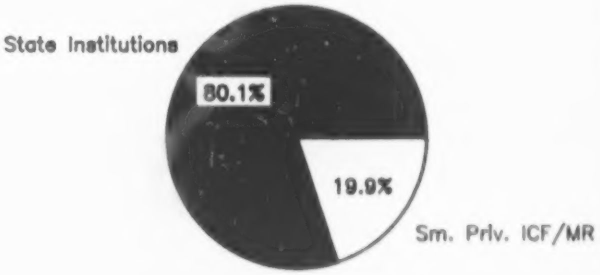
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

VERMONT

Federal ICF/MR Funding by Facility Setting:
FY 1977 and FY 1986

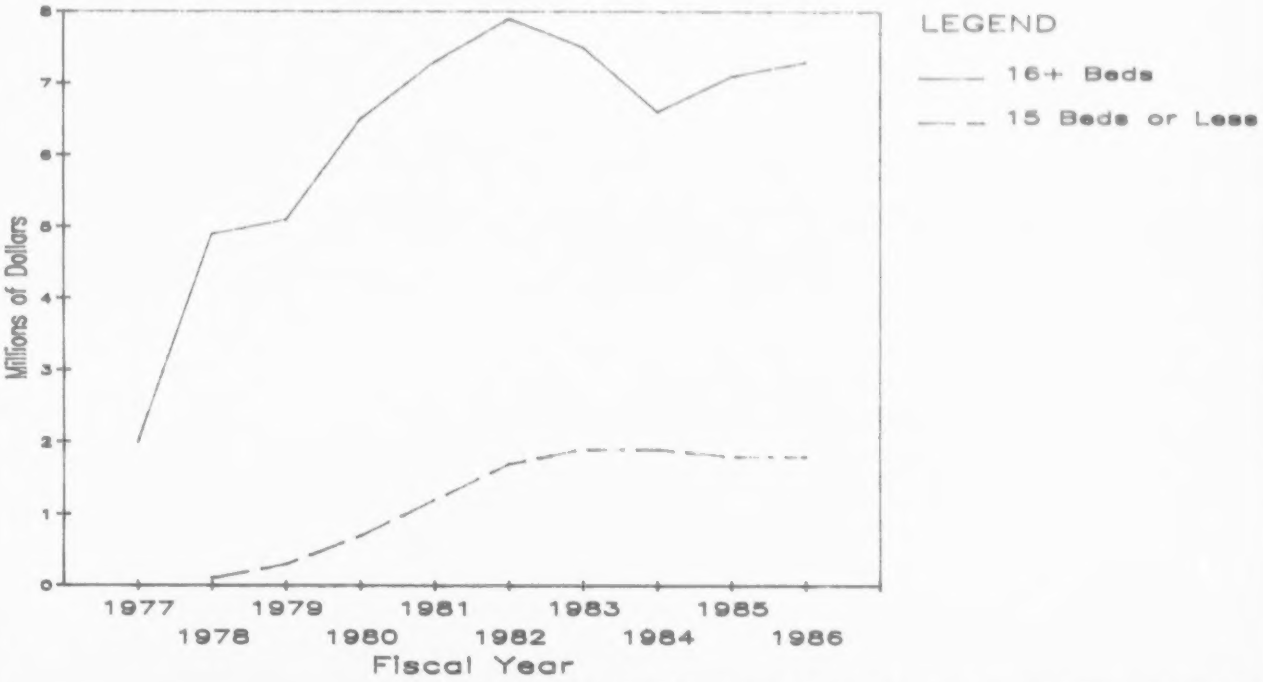


FY 1977 Total Federal Funds: $2 Million



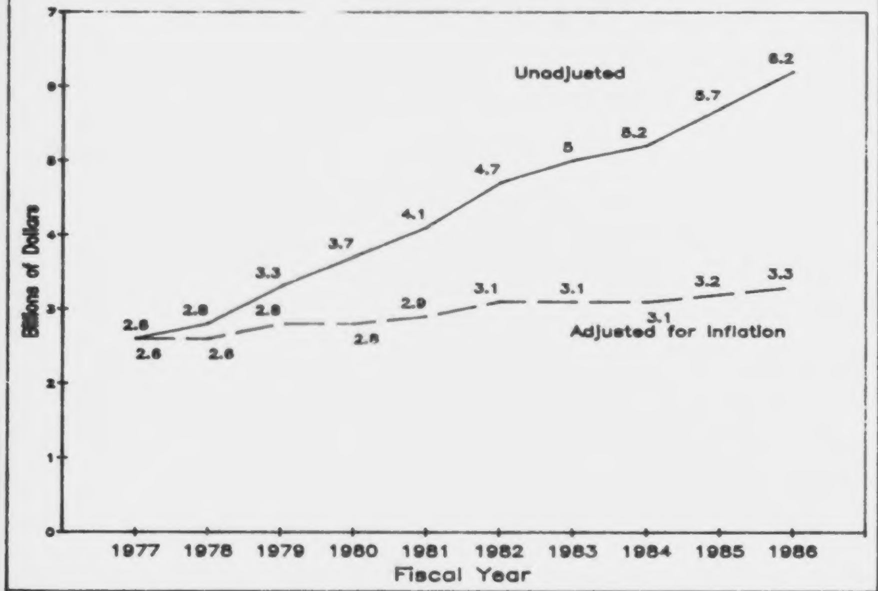
FY 1986 Total Federal Funds: $9.2 Million

By Facility Size, FY 1977–86

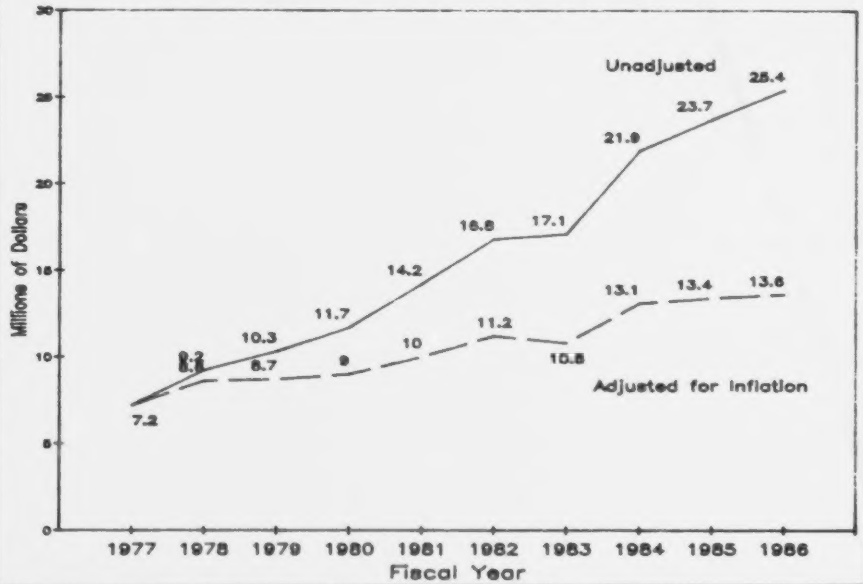


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

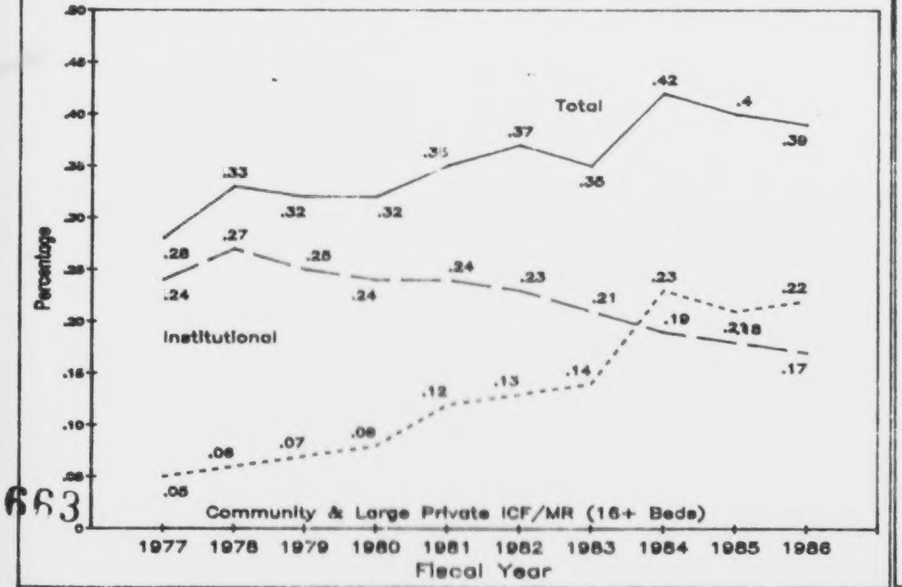
Personal Income in **VERMONT**



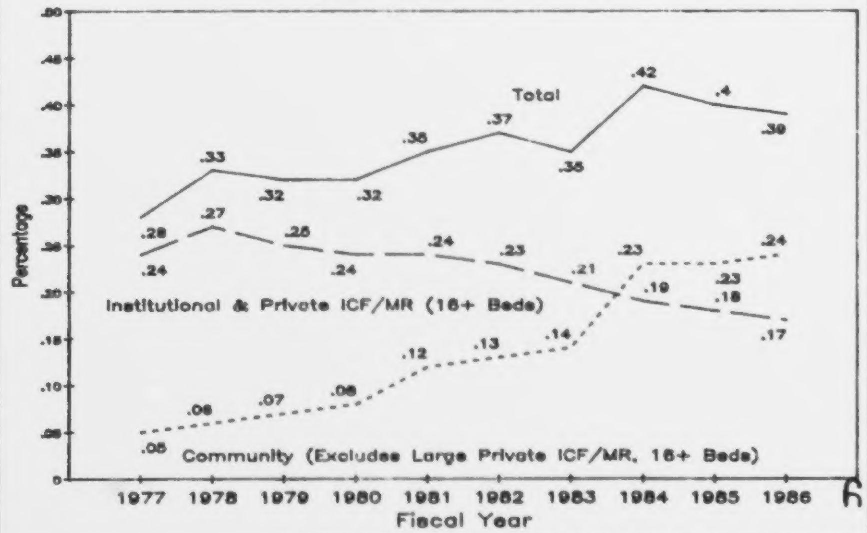
Total MR/DD Spending in **VERMONT**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

VERMONT 3/26/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	9,440,000	11,708,400	13,009,600	14,827,900	18,051,800	21,160,000	21,777,000	27,044,500	29,384,300	31,865,500
TOTAL INSTITUTIONAL/COMMUNITY	7,227,000	9,200,400	10,268,600	11,661,900	14,159,800	16,846,000	17,077,000	21,895,500	23,689,300	25,447,500
STATE FUNDS	4,403,000	3,909,900	4,586,000	4,050,100	5,000,400	6,648,900	7,000,300	10,697,900	10,839,200	11,611,100
General Funds	3,977,000	3,411,900	4,019,000	3,448,100	4,351,400	5,966,900	6,166,300	9,825,900	9,917,200	10,574,100
SSI State Supplement	426,000	498,000	567,000	602,000	649,000	682,000	834,000	872,000	922,000	1,037,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	2,824,000	5,290,500	5,682,600	7,611,800	9,159,400	10,197,100	10,076,700	11,197,600	12,850,100	13,836,400
Title XIX Funds	2,043,000	5,022,500	5,414,600	7,194,800	8,558,400	9,601,100	9,711,700	10,847,600	12,500,100	13,486,400
Title XX / SSBG Funds	500,000	268,000	268,000	245,000	405,000	394,000	365,000	350,000	350,000	350,000
Other Federal Funds	281,000	0	0	172,000	196,000	202,000	0	0	0	0
INSTITUTIONAL SERVICES FUNDS	6,127,000	7,660,500	8,090,100	8,802,700	9,615,900	10,841,100	10,215,200	10,023,900	10,436,100	10,848,800
STATE FUNDS	3,803,000	2,753,900	2,992,500	2,085,700	2,097,300	2,729,100	2,713,600	3,409,100	3,307,200	3,510,700
General Funds	3,803,000	2,753,900	2,992,500	2,085,700	2,097,300	2,729,100	2,713,600	3,409,100	3,307,200	3,510,700
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	2,324,000	4,906,600	5,097,600	6,717,000	7,518,600	8,112,000	7,501,600	6,614,800	7,128,900	7,338,100
Federal ICF/MR	2,043,000	4,906,600	5,097,600	6,545,000	7,322,600	7,910,000	7,501,600	6,614,800	7,128,900	7,338,100
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	281,000	0	0	172,000	196,000	202,000	0	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	3,313,000	4,047,900	4,919,500	6,025,200	8,435,900	10,318,900	11,561,800	17,020,600	18,948,200	21,016,700
COMMUNITY SERVICES FUNDS	1,100,000	1,539,900	2,178,500	2,859,200	4,543,900	6,004,900	6,861,800	11,871,600	13,253,200	14,598,700
STATE FUNDS	600,000	1,156,000	1,593,500	1,964,400	2,903,100	3,919,800	4,286,700	7,288,800	7,532,000	8,100,400
General Funds	174,000	658,000	1,026,500	1,362,400	2,254,100	3,237,800	3,452,700	6,416,800	6,610,000	7,063,400
SSI State Supplement	426,000	498,000	567,000	602,000	649,000	682,000	834,000	872,000	922,000	1,037,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	500,000	383,900	585,000	894,800	1,640,800	2,085,100	2,575,100	4,582,800	5,721,200	6,498,300
ICF/MR Funds	0	115,900	317,000	649,800	1,235,800	1,691,100	1,876,100	1,932,800	1,755,600	1,826,300
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	115,900	317,000	649,800	1,235,800	1,691,100	1,876,100	1,932,800	1,755,600	1,826,300
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	334,000	2,300,000	3,615,600	4,322,000
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	334,000	2,300,000	3,615,600	4,322,000
Title XX / SSBG Funds	500,000	268,000	268,000	245,000	405,000	394,000	365,000	350,000	350,000	350,000
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	2,213,000	2,508,000	2,741,000	3,166,000	3,892,000	4,314,000	4,700,000	5,149,000	5,695,000	6,418,000
Suppl. Security Income (SSI)	1,366,000	1,567,000	1,644,000	1,863,000	2,256,000	2,493,000	2,734,000	3,117,000	3,826,000	4,045,000
Childhood Disability (SSDI)	847,000	941,000	1,097,000	1,303,000	1,636,000	1,821,000	1,966,000	2,032,000	1,869,000	2,373,000
F.F.P. Rate	69.82%	68.47%	68.02%	68.31%	68.40%	68.54%	68.59%	69.18%	69.37%	67.64%
Daily Institutional Population	443	449	403	367	350	326	244	202	199	195
Institutional Per Diem	37.89	46.74	55.00	65.53	75.27	91.11	114.70	135.58	143.68	152.42

VIRGINIA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Mental retardation services in Virginia are provided by the Department of Mental Health & Mental Retardation, through the Division of Mental Retardation.

Budget Format. The Virginia Executive Budget presented MR/DD expenditures according to the following categories (summarized). The years in parentheses are by those budget lines that appear in only some of the years covered in this analysis.

- Department of Mental Health & Mental Retardation
  - Central Office
    - General Fund
    - Non-General Fund (later changed to Special Fund and Federal Trust)
  - Capital Budget Total (FYs 1977-84)
    - General Fund
    - Non General Fund
  - Administrative & Support Services
  - State Health Services (FYs 1982-86)
  - Financial Assistance for Health Services (included Community Services FYs 1982-84)
  - Instruction (FYs 1985-86)
  - Financial Assistance for Individual & Family Services (FYs 1985-86)
  - Regulation of Public Facilities (FYs 1982-86)
  - Health Research Planning & Coordination (FYs 1982-86)
  - Community Health Services (FYs 1985-86)
  - Management Development & Employee Training (FYs 1982-86)
  - Personnel Management (FYs 1982-84)
- Mental Retardation Services (FYs 1978-82)
- Mental Health Services (FYs 1978-82)
- Substance Abuse Services (FYs 1978-82)
- Southside Mental Health & Mental Retardation Support Unit
- Northern Virginia Training Center
- Central Virginia Training Center (formerlly, Lynchburg)
- Southeastern Virginia Training Center
- Southside Virginia Training Center
- Southwestern Virginia Training Center

(each of the divisions above had the same funding source categories as were listed under the Central Office).

There were three revenue sources, "General Funds," "Special," and "Federal Trust." "Special" and "Federal Trust" included Medicaid, Medicare, private pay, insurance, miscellaneous federal grants, and patient income.

Note on Data Sources. The Commonwealth of Virginia's Executive Budget was biennial and did not provide sufficient detail on revenue sources for our analysis. Therefore, the Division of MR was contacted.

Figures for FYs 1977-83 were provided by Robert Shakelford, Fiscal Administrative Services Director, DMH/MR (p.c., correspondence, 9/26/83). Figures for FYs 1984-86 were provided by Tommy Lee, Fiscal Officer, DMH/MR (p.c., telephone, 4/28/86), Walter Kimpel, DMH/MR (p.c., telephone, 4/28/86), and Sharon Dougherty, Medical Assistance Statistician, DMH/MR (p.c., telephone, 5/19/86).

In FY 1977 and FY 1978, the MR/DD program's budget did not include employee fringe benefits. Since FY 1979 fringe was included. Shakelford (p.c., telephone, 9/16/83) recommended estimating the amount of fringe by assuming that personnel costs were 80% of the entire budget and that fringe benefits were about 12% of personnel costs. He also suggested distributing the fringe in the same proportion as non-fringe expenditures were distributed to the State General Fund, to Medicaid, and to Title XX for FYs 1977-78. These calulations resulted in the following amounts for fringe benefits, which were added to the institutional and community components of our analysis.

	INSTITUTIONS ($ in thousands)			COMMUNITY ($ in thousands)			
FY	TOTAL	TITLE XIX	S.G.F.	TOTAL	S.G.F.	TITLE XX	OTHER STATE
77	$4,500	$2,385	$2,115	$ 931	$381	$157	$393
78	4,792	2,881	1,911	1,130	491	144	495

The aggregated "June 30" 1977-80 institutional census figures were obtained from the Budget documents. Fiscal Years 1981-83 data were provided by Jim Hodges, DMH/MR, Budget Office (p.c., telephone, 6/27/84). FYs 1985-86 census data were provided by Walt Kimpel (p.c., telephone, 4/28/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included funding for five state Training Centers and a portion of the South-Side Support Unit which supplied food services and building and grounds maintenance for one MR institution, one MH facility, and a Medical Center. Shakelford provided the exact figures for the portion of the Support Unit that is allocated for MR clients (p.c., correspondence, 9/26/83).

Other State Funds. Title XIX state-share funds appeared as Other State Funds in our analysis. Also included was an estimate of private pay and insurance provided by Walt Kimpel, DMH/MR (p.c., telephone, 10/5/83, 4/28/86, and 9/3/86).

Federal ICF/MR. The state and federal shares of ICF/MR funds were budgeted [illegible] Virginia in the "Special Fund" category in the Executive Budget. Shakelford (p.c., telephone, 9/16/83) provided the exact state and Federal ICF/MR share figures for FYs 1977-84; FYs 1985-86 data were obtained from Walter Kimpel (p.c., telephone, 4/28/86 and 9/3/86). The state share appeared in the "Other State Funds" category of our analysis.

Other Federal Funds. Walter Kimpel supplied an estimate of the Other Federal Funds in institutional budgets. They were primarily P.L. 89-313, and national school lunch funds which amounted to approximately 1% of the total institutional budget each year (p.c., telephone, 10/5/83, 4/28/86, and 9/3/86).

III. COMMUNITY SERVICES FUNDS

The Executive Budget combined community funding for Mental Health, Mental Retardation and Substance Abuse. All Community Services funds were deployed by 40 Local Community Services Boards, which in turn contracted with private providers to supply the services. Robert Shakelford supplied the Boards' FYs 1977-84 MR expenditures, based on detailed Departmental cost reports (p.c., correspondence, 9/26/83). Walt Kimpel and Tommy Lee supplied the revenue source breakdowns for this period (p.c., telephone, 10/6/83 and 10/11/83). FYs 1985-86 expenditures and breakdowns were provided by Tommy Lee (p.c., telephone, 4/28/86).

COMMUNITY SERVICE BOARDS - MR SERVICES ONLY ($'s in thousands)

FY	TOTAL	S.G.F.	LOCAL	FEDERAL	FEES & OTHER
1977	$12,513	$ 3,979	$2,804	$ 718	$5,011
1978	15,219	5,123	3,439	1,172	5,483
1979	17,008	6,313	4,483	751	5,458
1980	18.590	7,595	4,819	602	5,573
1981	24,554	9,942	6,223	615	7,773
1982	27,339	11,922	6,825	627	7,964
1983	31,489	13,933	7,858	741	8,957
1984	34,142	16,074	8,171	551	9,346
1985	37,288	17,580	9,387	238	10,083
1986	41,438	18,893	11,229	926	10,390

Local funds were excluded from the present analysis. "Fees and Other" in the Executive Budget were broken down for FYs 1982-84 as follows, and the breakdowns for "Fees and Other" from FYs 1977-81 were approximations based on FYs 1982-86 utilization rate estimates supplied by Tommy Lee (p.c., telephone, 10/11/83, 4/28/86, and 9/3/86) ($'s in thousands):

FY	TITLE XIX			FEDERAL TITLE XX	DIRECT CLIENT FEES & INS.	WORKSHOP SALES & OTHER
	Total XIX	Fed. Share	State Share			
1977	$ 0	$ 0	$ 0	$1,277	$1,899	$1,834
1978	0	0	0	1,398	2,078	2,006
1979	0	0	0	1,391	2,068	1,997
1980	0	0	0	1,421	2,112	2,039
1981	0	0	0	1,982	2,945	2,844
1982	955	541	414	1,552	2,540	2,914
1983	1872	1062	810	1,630	2,651	2,803
1984	1953	1104	849	1,700	2,766	2,925
1985	1832	1035	797	484	3,889	3,878
1986	2025	1076	949	386	3,655	4,324

Other State Funds. The state share of Title XIX ICF/MR was recorded under Other State Funds in our analysis, along with "Direct Client Fees" and "Workshop Sales." According to Lee, there were also some federal rehabilitation services funds in the "Fees and Other" category but the exact amounts were small.

Small Public ICF/MR. Local Boards began operating community ICFs/MR in FY 1981, with one ten-bed facility, according to Carol Singer Metz, DMH/MR Community Specialist (p.c., telephone, 10/5/83). Expenditures did not appear in the Virginia budget until FY 1982.

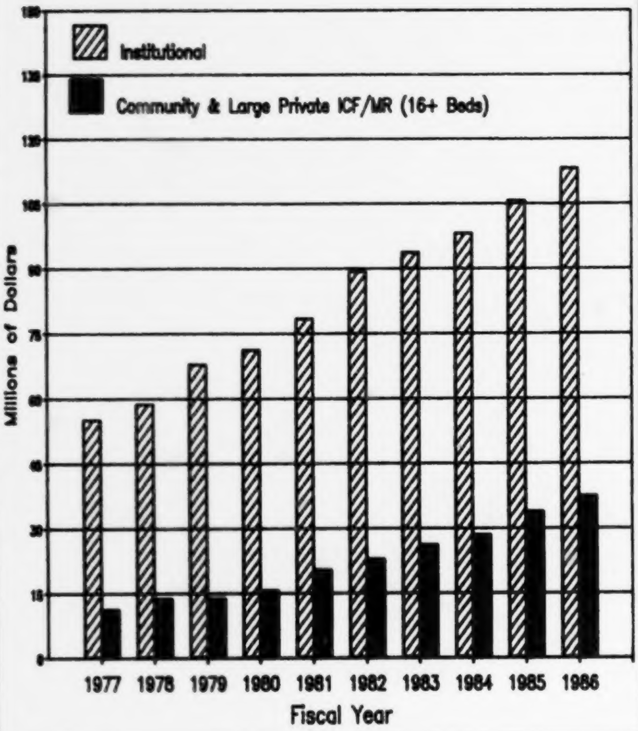
Private ICF/MR expenditure data for FYs 1977-84 were provided by Peterson Epps, Division of Provider Reimbursement, Department of Health (p.c., telephone, 1/9/84); FYs 1985-86 figures were obtained from Sharon Dougherty, Medical Assistance Statistician, DMH/MR (p.c., telephone, 5/19/86). From FY 1977 through FY 1984 there was one 60-bed facility; since then, two more large ICFs/MR have opened.

Federal Title XX/SSBG figures were obtained from Tommy Lee (p.c., telephone, 10/11/83 and 4/28/86)

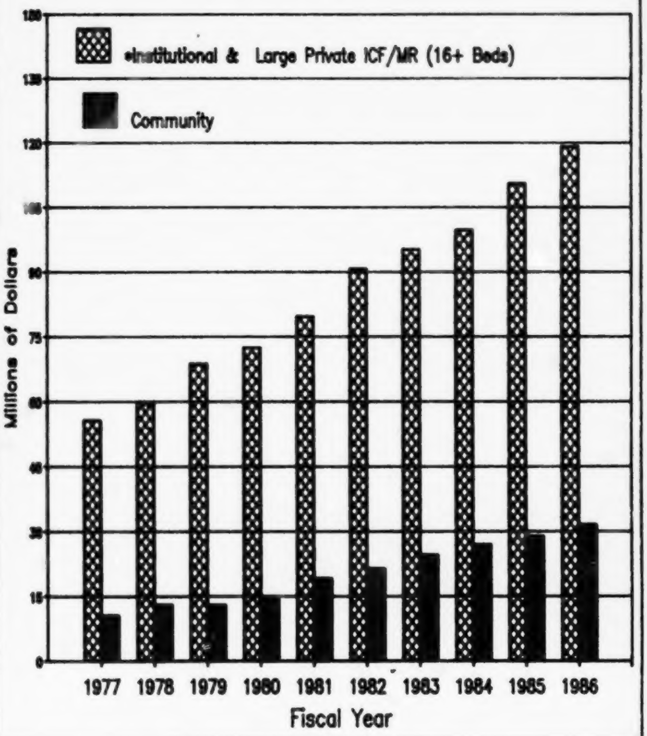
Other Federal Funds were primarily Federal DD Act monies.

VIRGINIA

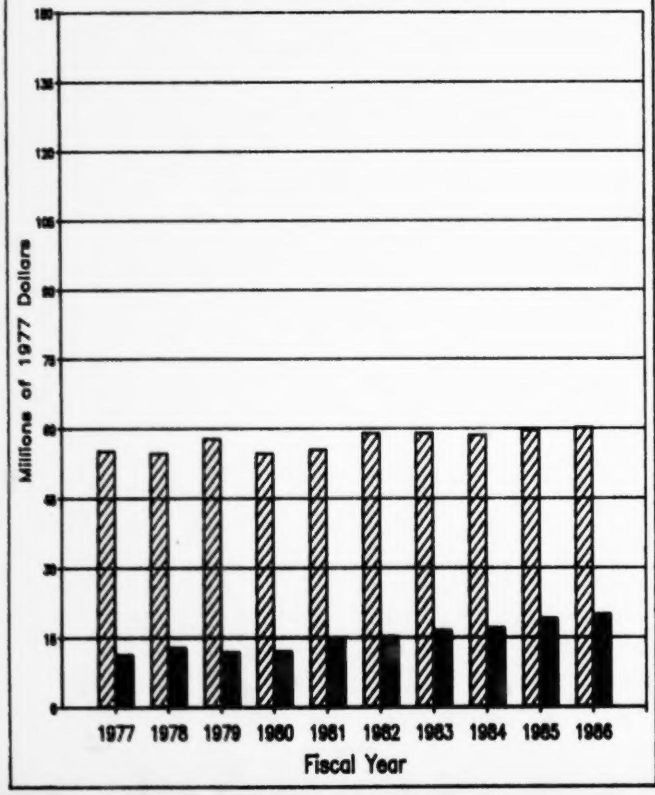
MR/DD Expenditures for *Institutional* & *Community* Services



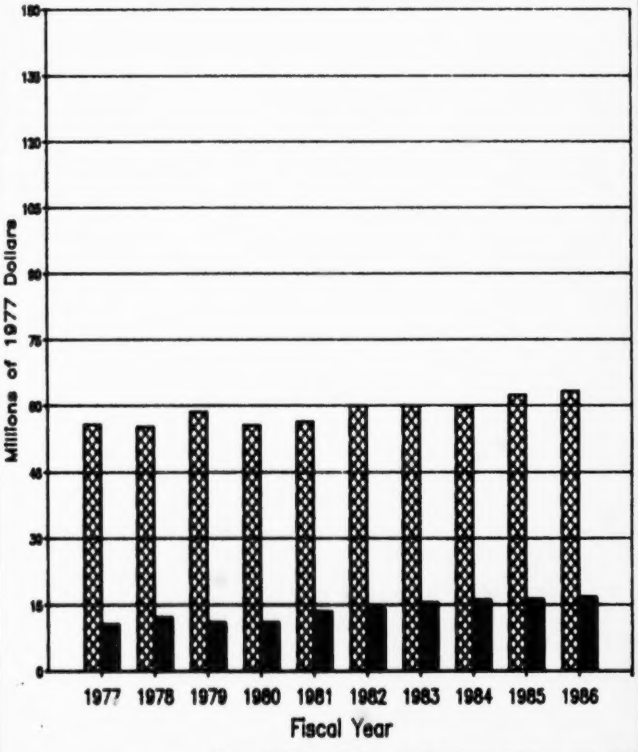
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



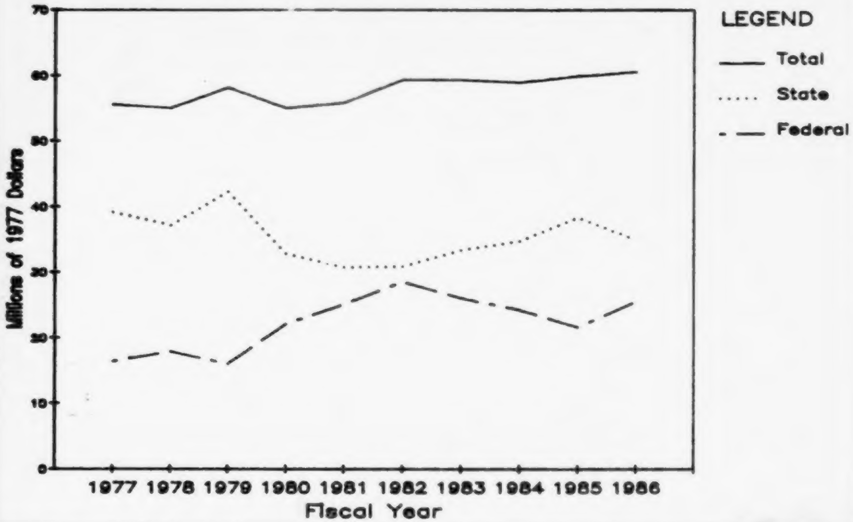
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

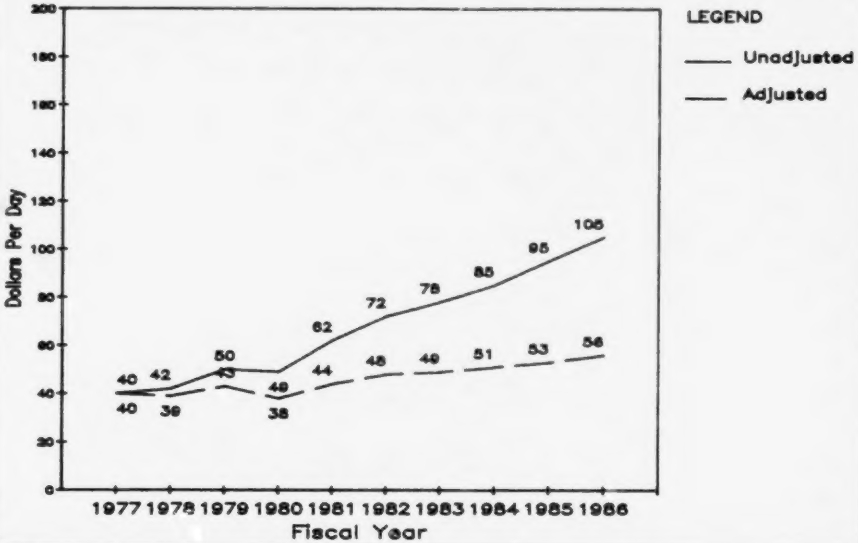
VIRGINIA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

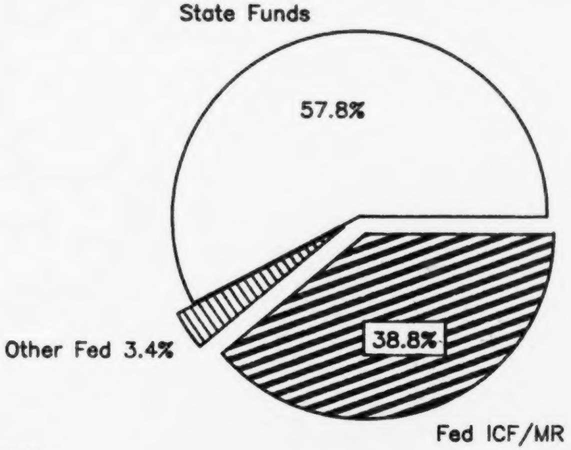


VIRGINIA

Institutional Per Diem Costs: FY 1977–86

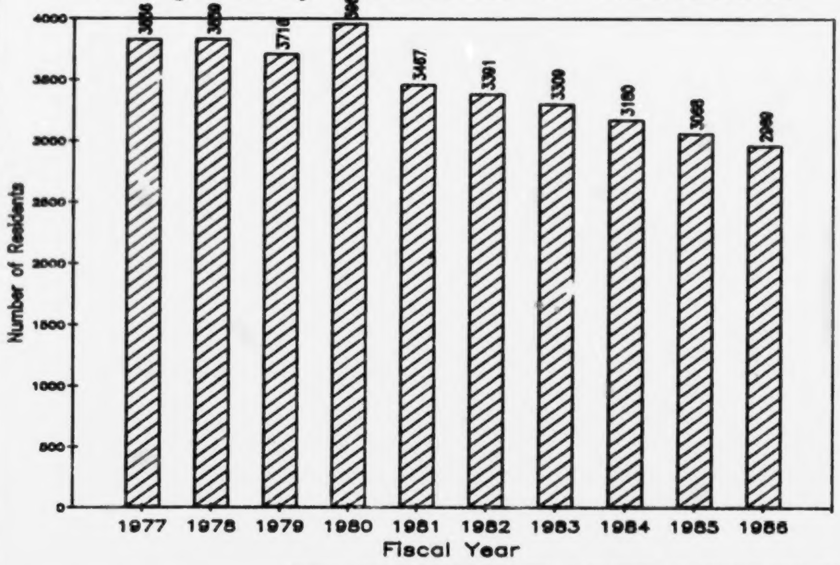


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $113.5 Million

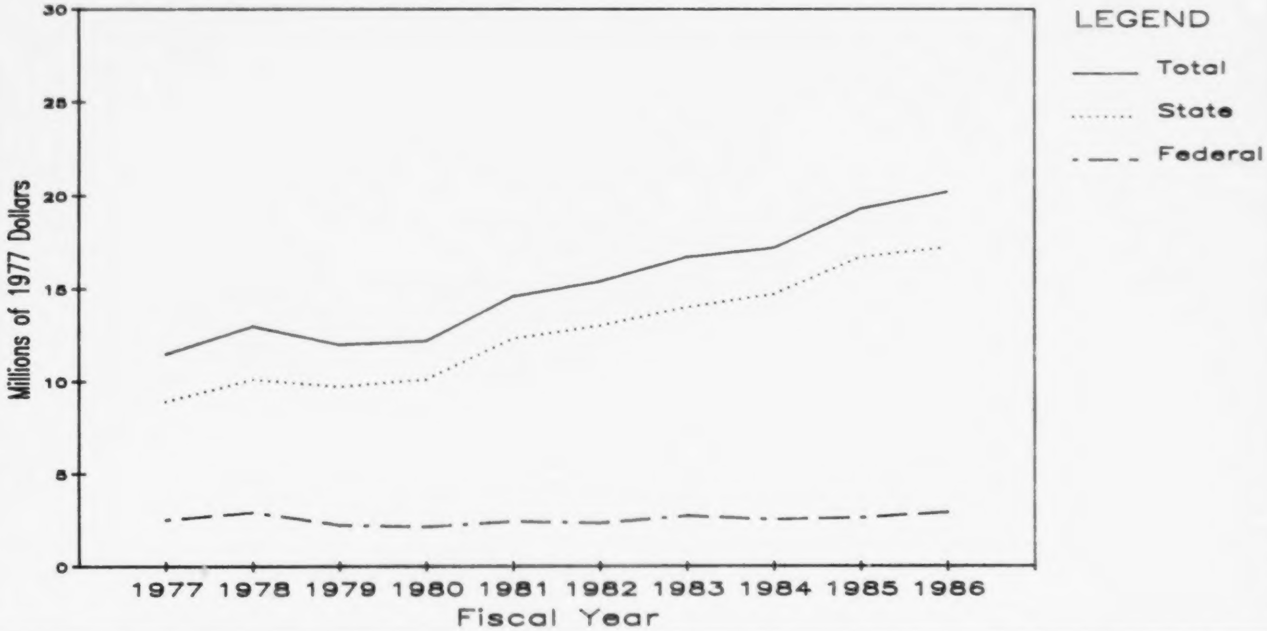
Average Daily Residents in Institutions



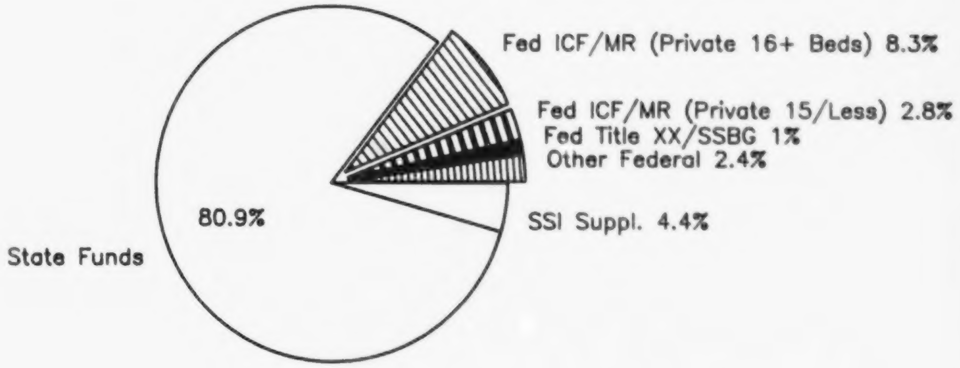
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

VIRGINIA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

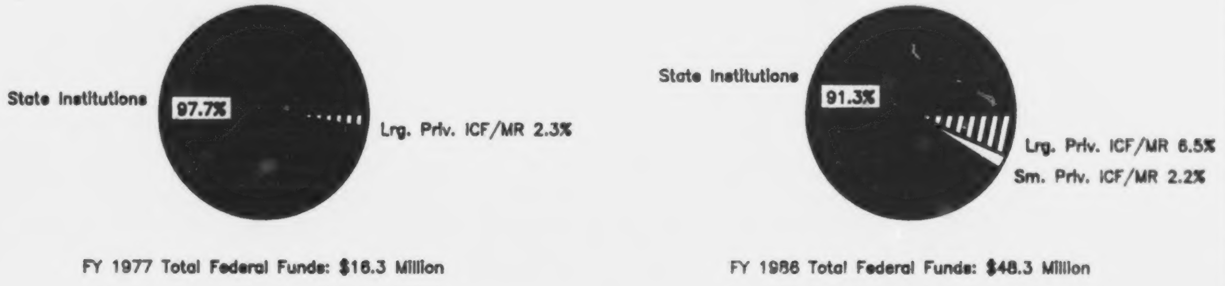


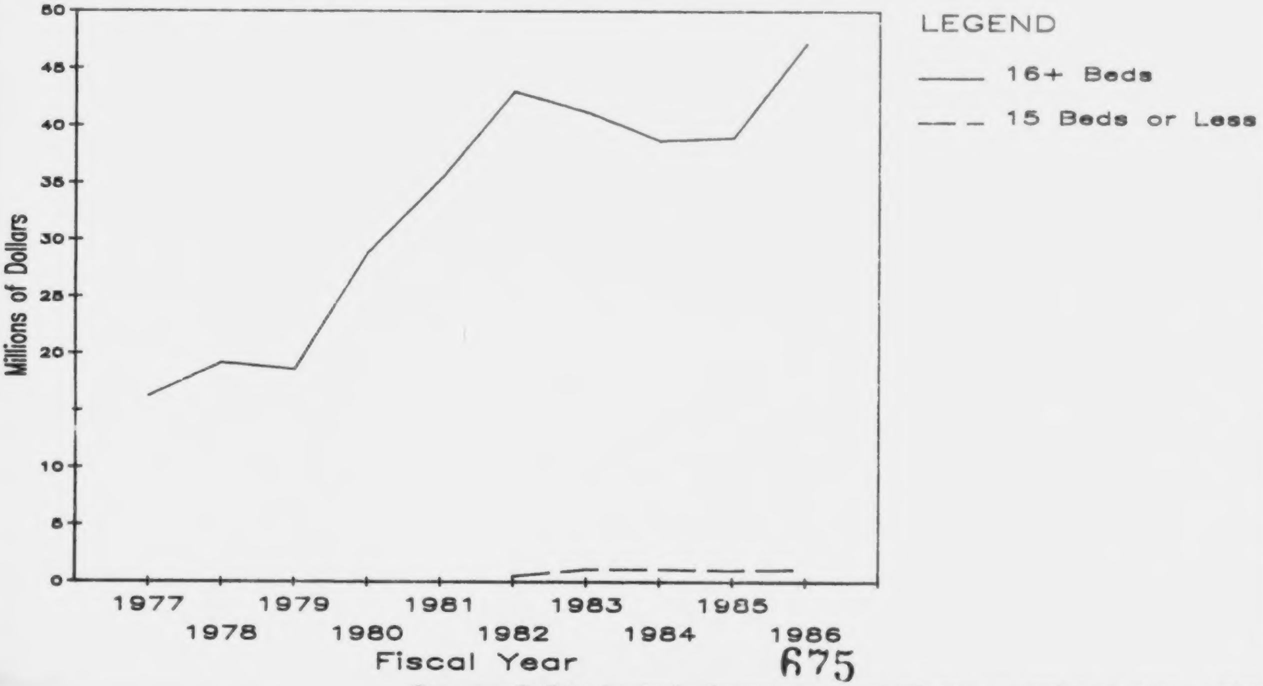
FY 1986 Total Funds: $37.8 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

VIRGINIA

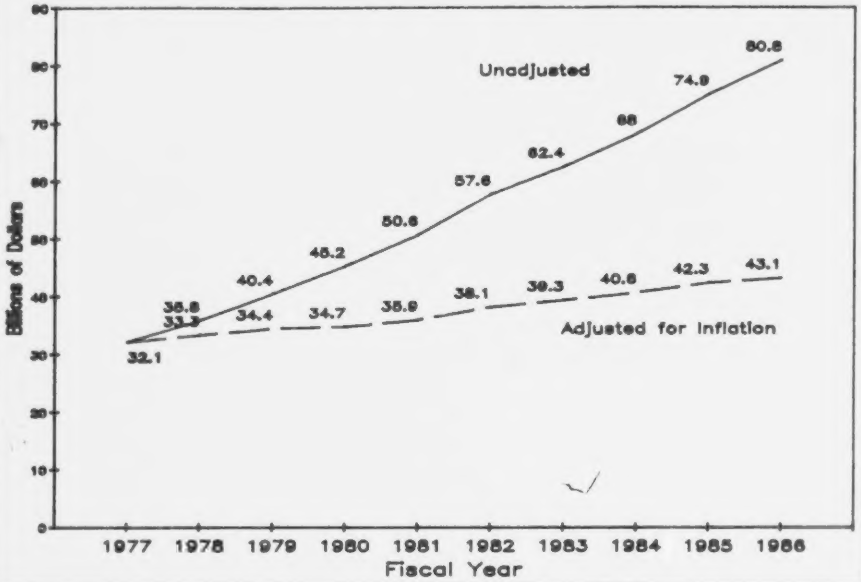
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



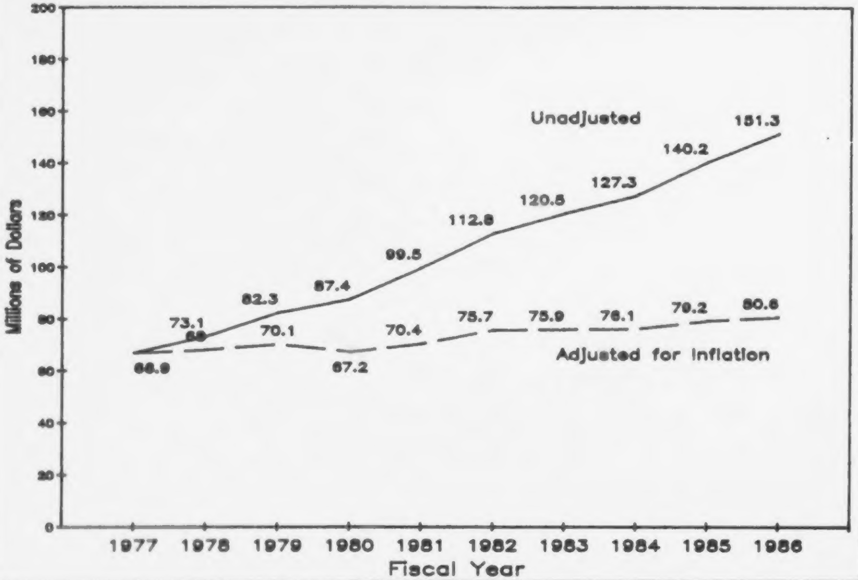

By Facility Size, FY 1977–86

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

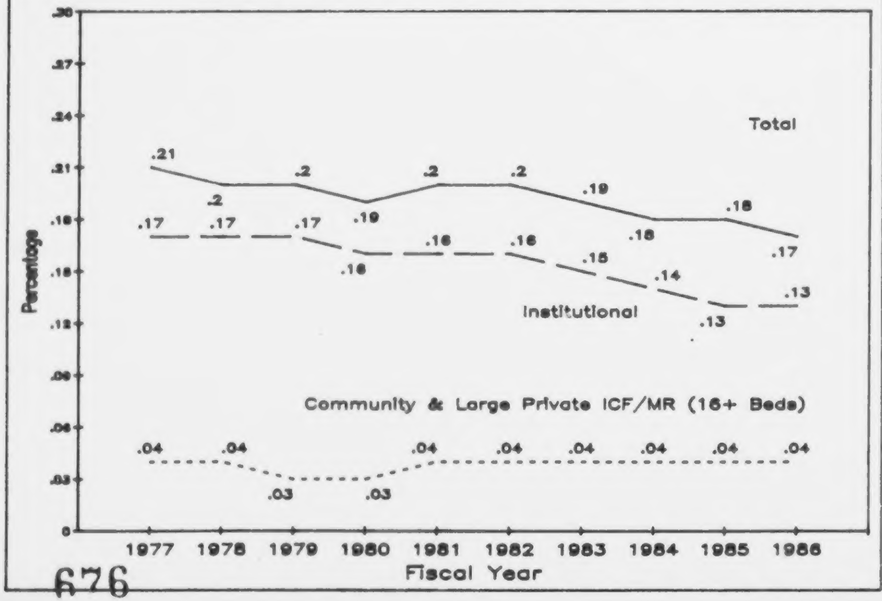
Personal Income in **VIRGINIA**



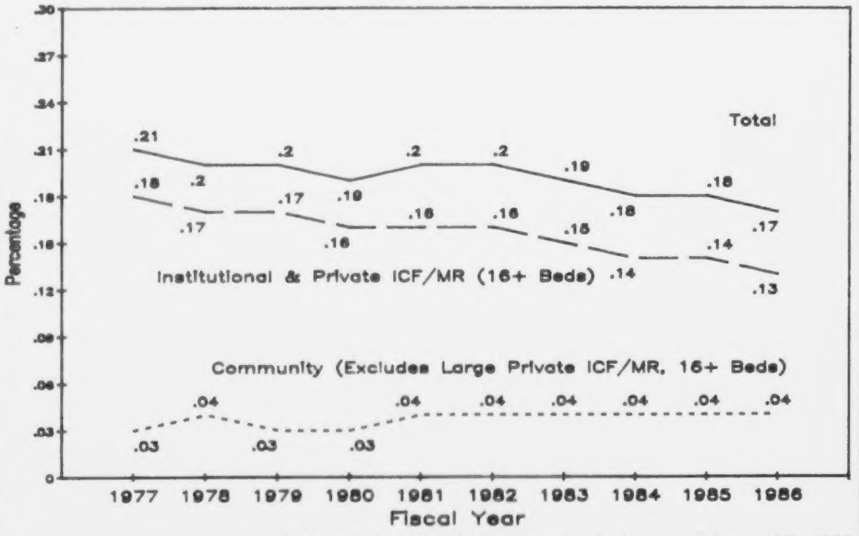
Total MR/DD Spending in **VIRGINIA**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

VIRGINIA 9/4/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	91,415,000	100,732,000	113,148,000	123,518,000	144,186,000	163,021,000	174,905,700	187,208,100	207,529,800	219,873,500
TOTAL INSTITUTIONAL/COMMUNITY	66,941,000	73,091,000	82,318,000	87,447,000	99,473,000	112,836,000	120,535,700	127,331,100	140,202,800	151,294,500
STATE FUNDS	48,061,000	50,722,000	60,913,000	55,906,000	60,687,000	66,219,000	74,975,200	82,667,200	97,403,500	97,846,600
General Funds	29,325,000	28,330,000	38,342,000	24,742,000	21,954,000	20,999,000	30,232,700	40,753,700	53,095,500	40,371,800
SSI State Supplement	185,000	371,000	676,000	876,000	1,043,000	1,229,000	1,310,000	1,287,000	1,361,000	1,681,000
Other State Funds	18,551,000	22,021,000	21,895,000	30,288,000	37,690,000	43,991,000	43,432,500	40,626,500	42,947,000	55,793,800
FEDERAL FUNDS	18,880,000	22,369,000	21,405,000	31,541,000	38,786,000	46,617,000	45,560,500	44,663,900	42,799,300	53,447,900
Title XIX Funds	16,260,000	19,156,000	18,634,000	28,859,000	35,387,000	43,525,000	42,218,400	39,815,500	40,030,100	48,253,400
Title XX / SSBG Funds	1,434,000	1,542,000	1,391,000	1,421,000	1,982,000	1,552,000	1,630,000	1,700,000	484,100	386,300
Other Federal Funds	1,186,000	1,671,000	1,380,000	1,261,000	1,417,000	1,540,000	1,712,100	3,148,400	2,285,100	4,808,200
INSTITUTIONAL SERVICES FUNDS	55,483,000	59,111,000	68,250,000	71,596,000	78,785,000	89,648,000	94,081,700	98,501,100	106,034,500	113,486,100
STATE FUNDS	39,125,000	39,856,000	49,484,000	42,760,000	43,341,000	46,573,000	52,813,200	58,082,200	67,766,200	65,571,400
General Funds	24,965,000	22,716,000	32,029,000	17,147,000	12,012,000	9,077,000	16,299,700	24,679,700	35,515,700	21,478,400
Other State Funds	14,160,000	17,140,000	17,455,000	25,613,000	31,329,000	37,496,000	36,513,500	33,402,500	32,250,500	44,093,000
FEDERAL FUNDS	16,358,000	19,255,000	18,766,000	28,836,000	35,444,000	43,075,000	41,268,500	40,418,900	38,268,300	47,914,700
Federal ICF/MR	15,890,000	18,756,000	18,137,000	28,177,000	34,642,000	42,162,000	40,297,400	37,821,500	36,221,300	44,032,800
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	468,000	499,000	629,000	659,000	802,000	913,000	971,100	2,597,400	2,047,000	3,881,900
COMMUNITY WITH FEDERAL INCOME MAINT	35,932,000	41,621,000	44,898,000	51,922,000	65,401,000	73,373,000	80,824,000	88,707,000	101,495,300	106,387,400
COMMUNITY SERVICES FUNDS	11,458,000	13,980,000	14,068,000	15,851,000	20,688,000	23,188,000	26,454,000	28,830,000	34,168,300	37,808,400
STATE FUNDS	8,936,000	10,866,000	11,429,000	13,146,000	17,346,000	19,646,000	22,162,000	24,585,000	29,637,300	32,275,200
General Funds	4,360,000	5,614,000	6,313,000	7,595,000	9,942,000	11,922,000	13,933,000	16,074,000	17,579,800	18,893,400
SSI State Supplement	185,000	371,000	676,000	876,000	1,043,000	1,229,000	1,310,000	1,287,000	1,361,000	1,681,000
Other State Funds	4,391,000	4,881,000	4,440,000	4,675,000	6,361,000	6,495,000	6,919,000	7,224,000	10,696,500	11,700,800
FEDERAL FUNDS	2,522,000	3,114,000	2,639,000	2,705,000	3,342,000	3,542,000	4,292,000	4,245,000	4,531,000	5,533,200
ICF/MR Funds	370,000	400,000	497,000	682,000	745,000	1,363,000	1,921,000	1,994,000	3,808,800	4,220,600
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	541,000	1,062,000	1,104,000	1,035,400	1,076,100
Large Private	370,000	400,000	497,000	682,000	745,000	822,000	859,000	890,000	2,773,400	3,144,500
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	1,434,000	1,542,000	1,391,000	1,421,000	1,982,000	1,552,000	1,630,000	1,700,000	484,100	386,300
Other Federal Funds	718,000	1,172,000	751,000	602,000	615,000	627,000	741,000	551,000	238,100	926,300
FEDERAL INCOME MAINTENANCE	24,474,000	27,641,000	30,830,000	36,071,000	44,713,000	50,185,000	54,370,000	59,877,000	67,327,000	68,579,000
Suppl. Security Income (SSI)	16,647,000	18,943,000	20,688,000	24,026,000	29,587,000	33,352,000	36,195,000	41,092,000	43,803,000	46,639,000
Childhood Disability (SSDI)	7,827,000	8,698,000	10,142,000	12,045,000	15,126,000	16,833,000	18,175,000	18,785,000	23,524 000	21,940,000
F.F.P. Rate	58.34%	57.34%	57.01%	56.66%	56.54%	56.69%	56.74%	56.53%	56.53%	53.14%
Daily Institutional Population	3,836	3,839	3,716	3,965	3,467	3,391	3,309	3,180	3,068	2,969
Institutional Per Diem	39.63	42.18	50.32	49.34	62.26	72.43	77.90	84.63	94.69	104.72

WASHINGTON

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Community and institutional services for individuals with mental retardation and developmental disabilities in Washington are administered by the Division of Developmental Disabilities (DD) within the Department of Social and Health Services (DSHS).

Budget Format. The Washington published budget classified fiscal data in the following manner:

Department of Social and Health Services
  Division of DD

  Community Services
    General Fund-State
    General Fund-Federal Block Grant
    General Fund-Federal
    General Fund-Federal Unanticipated

  Residential Habilitation Services (Institutional Services)
    [same as above], and in addition,
    General Fund-Private/Local Unanticipated

  Special Projects
    [same as Community Services above]

  Program Support
    [same as Community Services above]

Note on Data Sources. State of Washington Budget documents were reviewed for the FYs 1979-81, the FYs 1981-83 and the FYs 1983-85 Biennia, as well as "House Bill #1079, Chapter 76, First Extraordinary Session, Laws of 1983" (effective 7/15/83). These documents provided expenditure figures categorized as "actual" for FYs 1977, '79, and '81; "estimated" for FYs '78, '80, '82, '83; and we initially utilized one-half of the appropriated biennium figure for FY 1984 (from HB #1079).

Updated expenditure figures for FYs 1977-86 were obtained from Harlan D. Solomon, Fiscal Section, Division of Developmental Disabilities, Department of Social and Health Services (p.c., correspondence, 3/24/86). The expenditure figures were summarized by Mr. Solomon from Legislative Evaluation and Accountability Project (LEAP) documents, and reflected spending for Residential Habilitation Centers (RHC's), exclusive of the schools for the deaf and blind, and for community services, for the entire ten-year period (FYs 1977-86).

The FYs 1979-84 figures represented revisions of expenditure totals contained in our previous (FYs 1977-84) analysis, reporting Private ICF/MR Federal and state share expenditures as a subcomponent of total community services funds. For example, the previous analysis figure for community services in FY 1984 was $58,285.0 thousand, consisting of $46,577.0 thousand for community services and $11,708.0 thousand for private ICF/MR. The current analysis total for FY 1984, however, is $46,331.5 thousand.

Average daily population figures for RHC's were provided by H. Solomon (p.c., correspondence, 3/24/86; telephone, 4/17/86) and by Aaron Lowin, Program Planning and Research, Division of Developmental Disabilities (p.c., correspondence, 7/22/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional Services consisted of expenditures for Residential Habilitation Centers for the Developmentally Disabled. The Centers included: Fircrest School, Interlake School, Rainier School, Lakeland Village, Yakima Valley School, Francis Haddon Morgan School, School for the Blind, School for the Deaf and the Cerebral Palsy Center (FYs 1977-80 only).

III. COMMUNITY SERVICES FUNDS

Community services consisted of a range of day services and supportive activities; private ICFs/MR (Large and Small); Title XIX (Medicaid) Day Programs; and Community Care Waiver services.

Private ICF/MR. The breakdown of private ICFs/MR Small and Large was provided by H. Solomon (p.c., telephone, 4/17/86). Expenditures for ICFs/MR Small in FY 1986 represented 24.5% of total private ICF/MR spending. According to additional information from A. Lowin (p.c., telephone, 6/30/86), the Small Private ICFs/MR (termed "E" Level facilities) were initiated in FY 1983. We therefore utilized the per diem for private ICFs/MR Small which had been determined for FY 1986 ($75), and "deflated" the per diem for prior years, utilizing the Implicit Price Deflator of the Bureau of Economic Analysis (State & Local Government Subindex). Lowin provided the number of individuals served in the small facilities (FY 1983-139; FY 1984-142; FY 1985-142; FY 1986-137), and with these figures and the per diem amounts, we imputed private ICF/MR expenditures for FYs 1983-85.

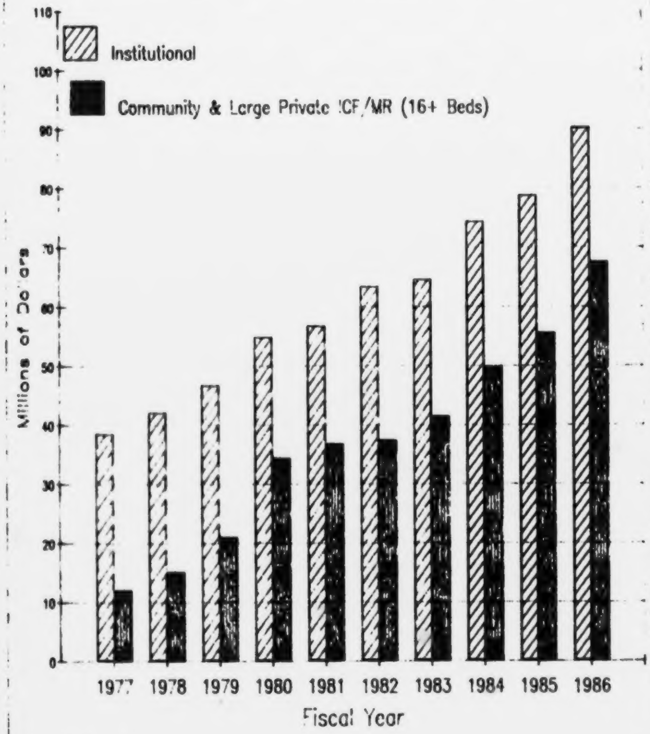
Title XIX Day Programs. The fluctuations in Federal Title XIX funds reimbursing day programs (in FY 1980 and in FY 1983) may have been related to delays in reimbursement of services which had previously been reimbursed by Federal Title XX/SSBG funds (see below).

Waiver. The Title XIX Community Care Waiver was initiated in FY 1984, and was termed the Community Alternatives Program (CAP).

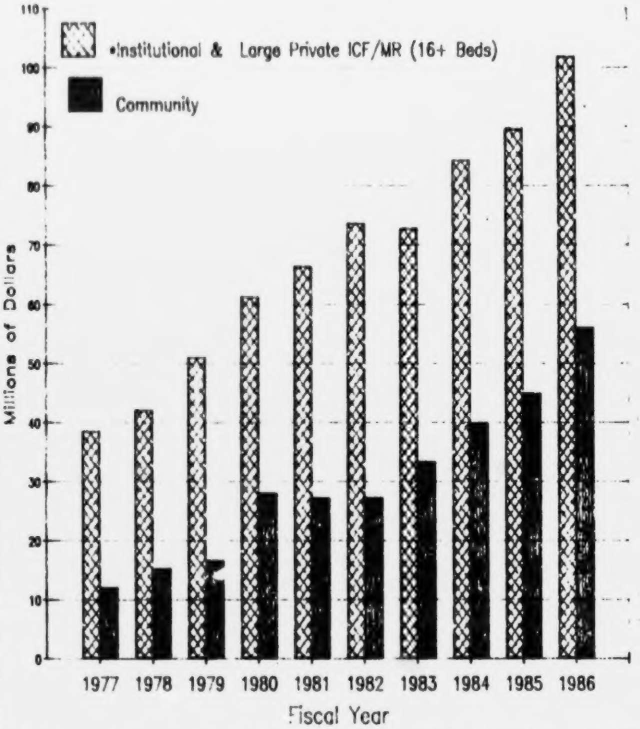
Federal Title XX/SSBG. Reported revenues from Title XX/SSBG dipped significantly in FY 1980, increased in FY 1981, were at zero for FYs 1982 and '83, and then stablilized at around ten million dollars for FYs 1984-86. These fluctuations reflected accounting changes in the state which, year by year, assigned varying amounts of "claims" to the Division of DD. As noted immediately above, there may also have been a relationship between Title XX/SSBG fluctuations and the patterns of Title XIX Day Program reimbursements, in that these two Federal revenue sources were alternately utilized for support of the same or similar services.

WASHINGTON

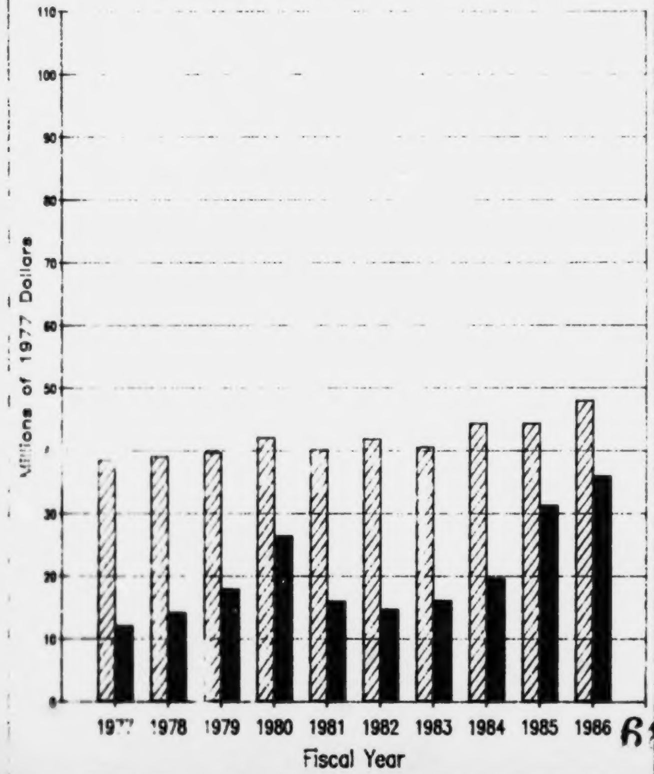
MR/DD Expenditures
for *Institutional* & *Community* Services



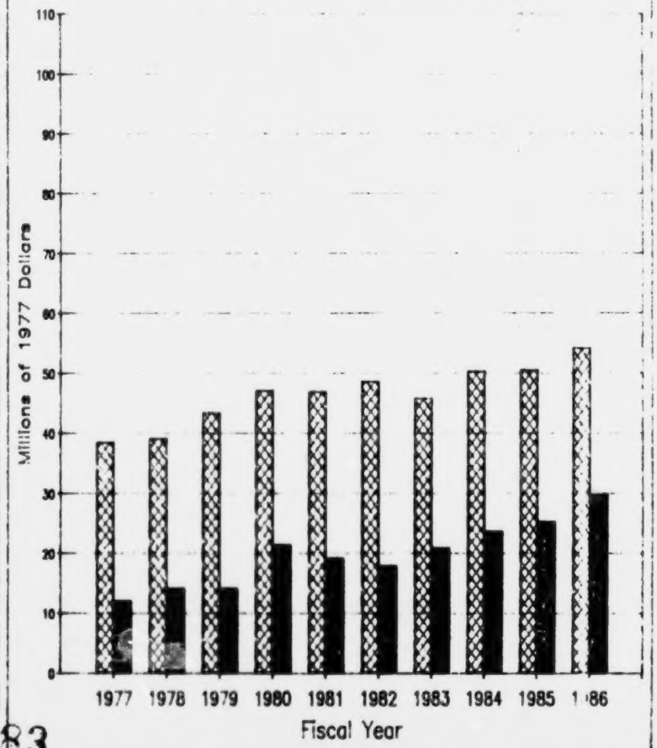
MR/DD Expenditures for Large Congregate*
& Community Services



Adjusted for Inflation



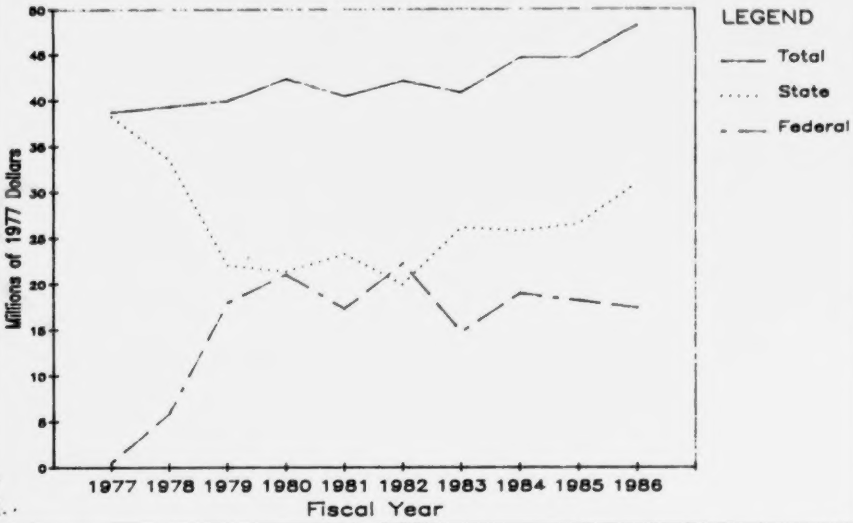
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago IAF, 1986

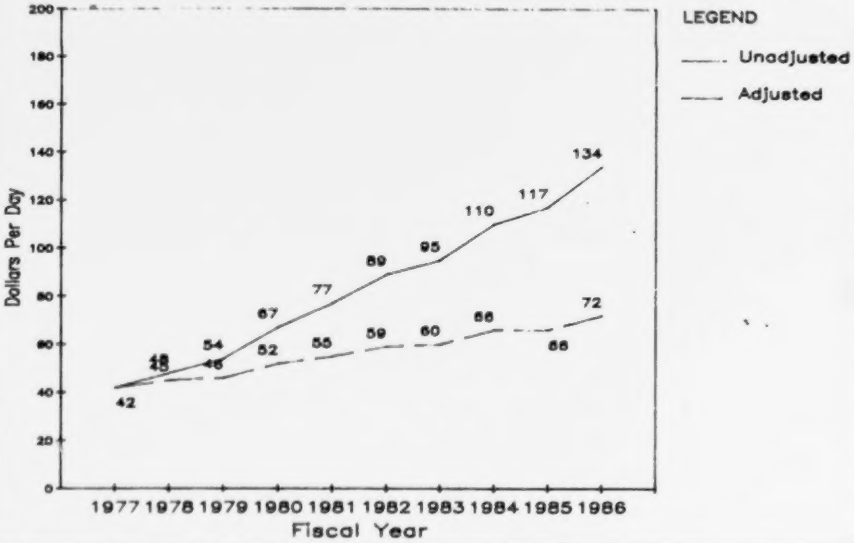
WASHINGTON

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

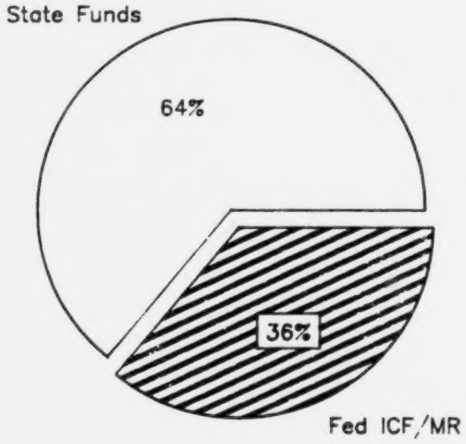


WASHINGTON

Institutional Per Diem Costs: FY 1977–86

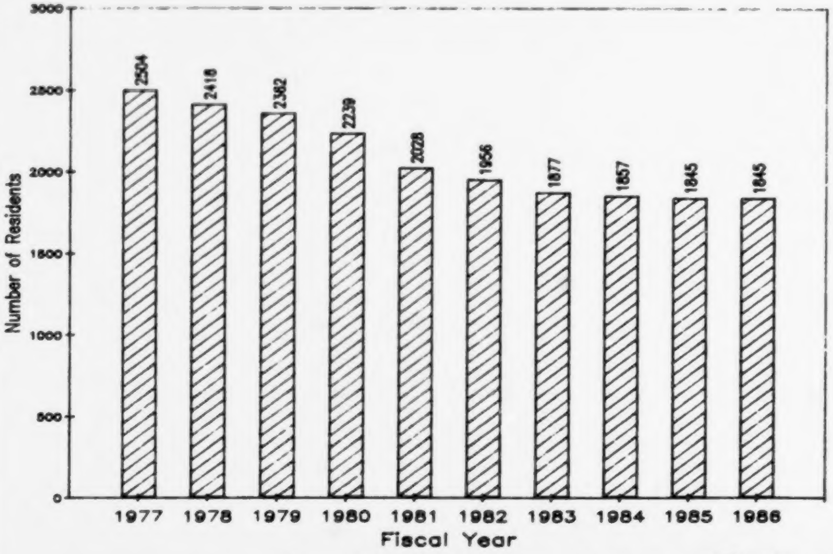


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $90.5 Million

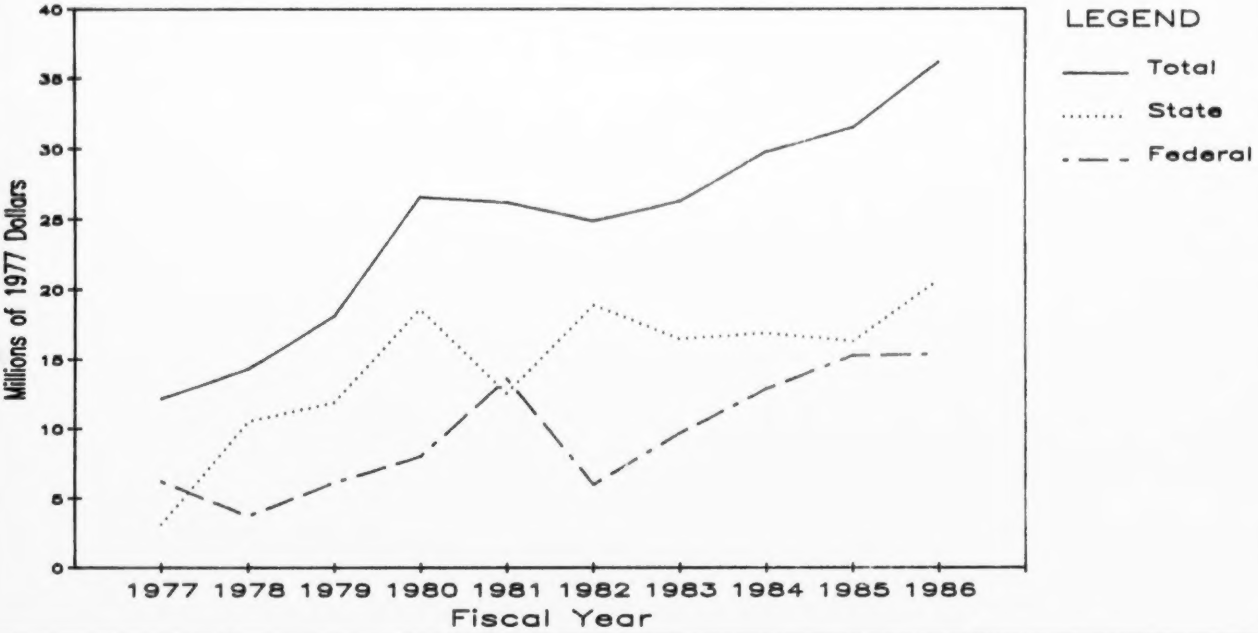
Average Daily Residents in Institutions



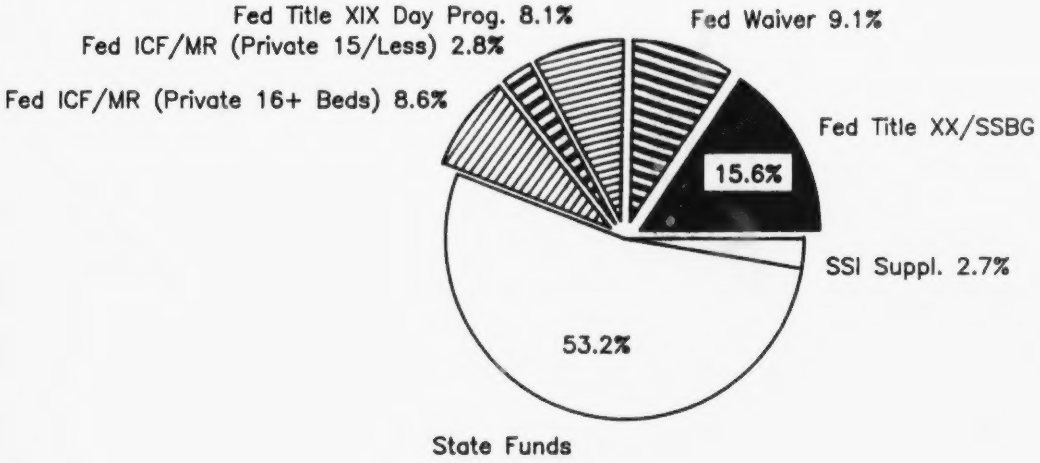
Source: Policy Analysis Program, U of Illinois at Chicago UAP, 1986

WASHINGTON

Community Spending Adjusted for Inflation
By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

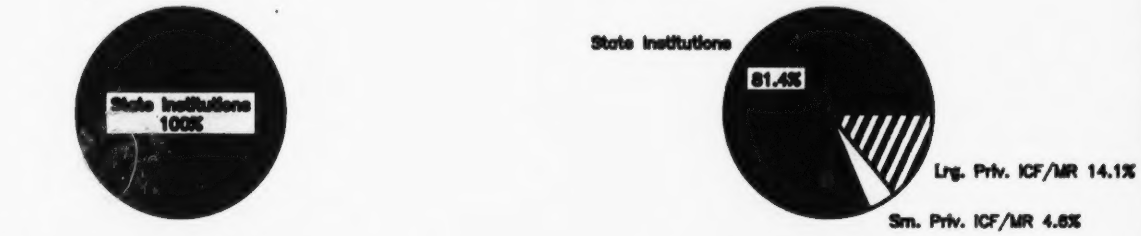


FY 1986 Total Funds: $65.6 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

WASHINGTON

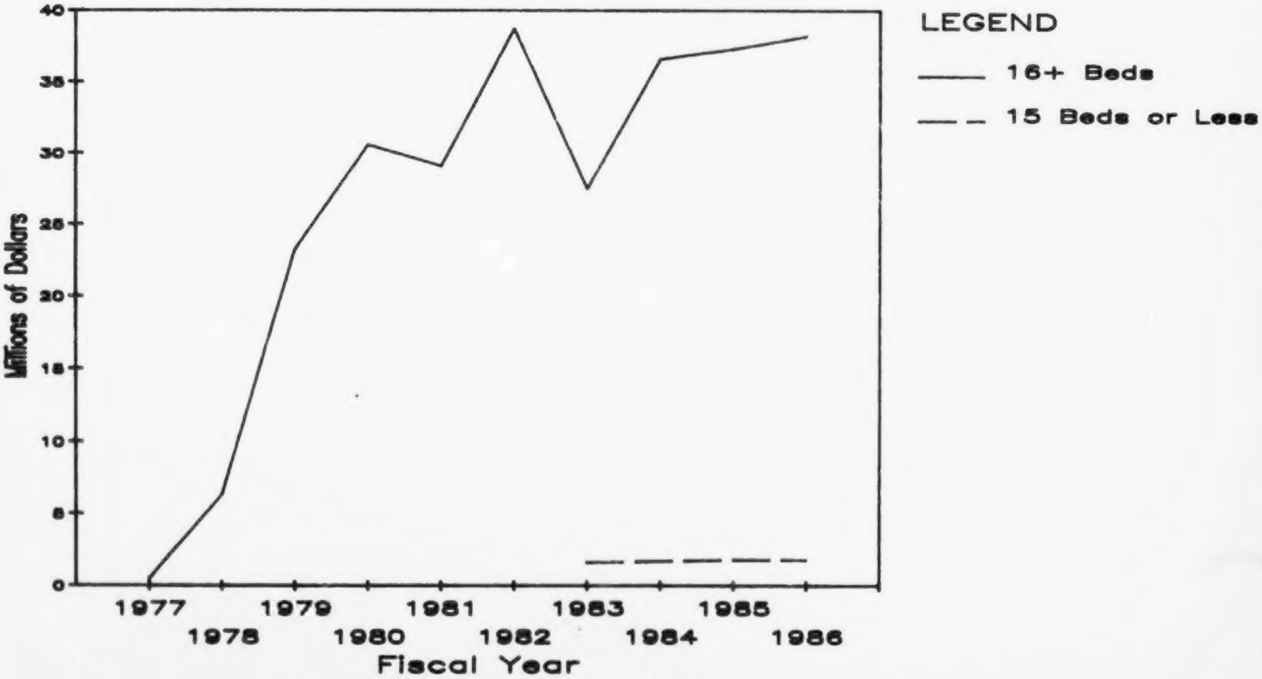
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



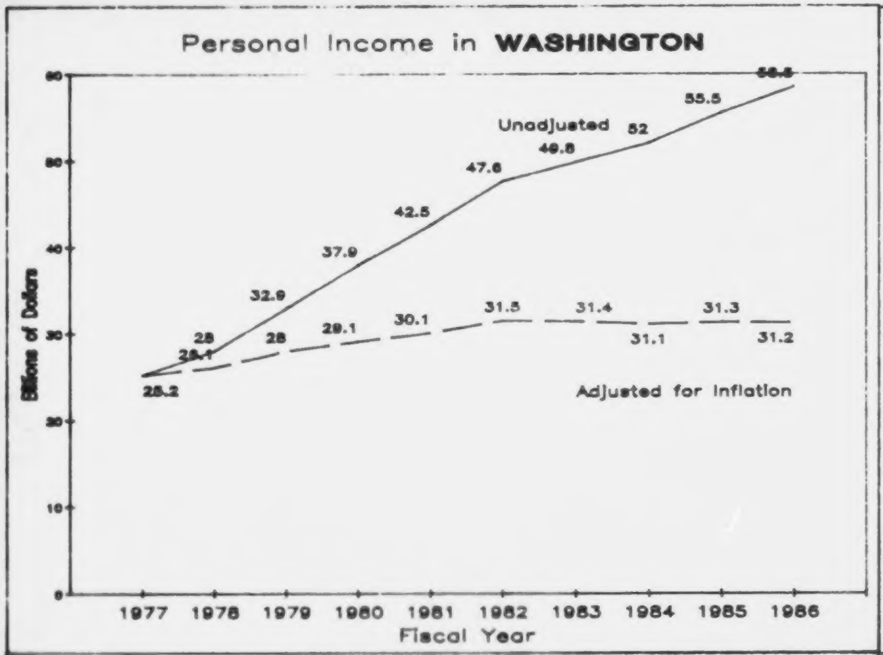
FY 1977 Total Federal Funds: $.517 Million

FY 1986 Total Federal Funds: $40 Million

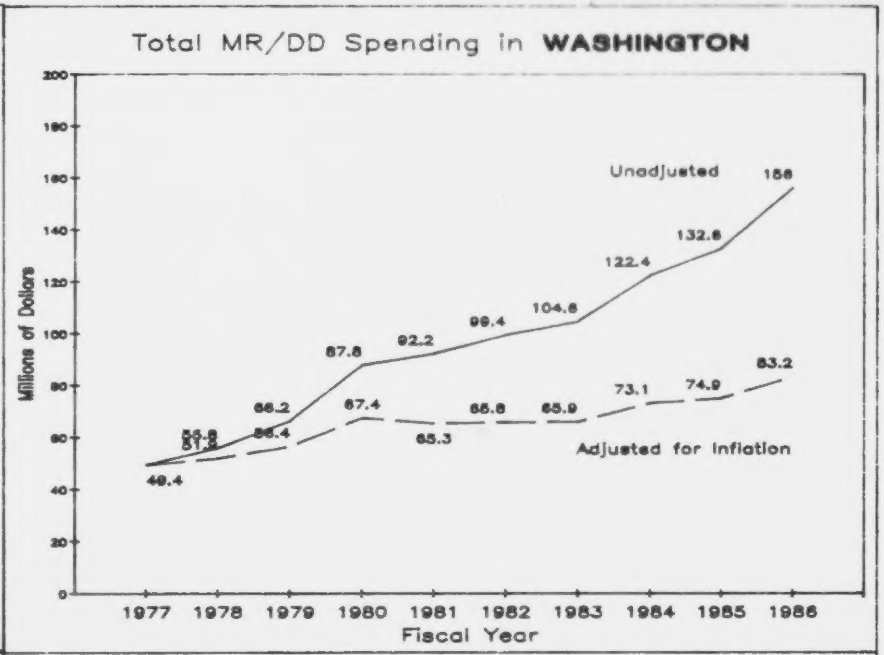
By Facility Size, FY 1977–86



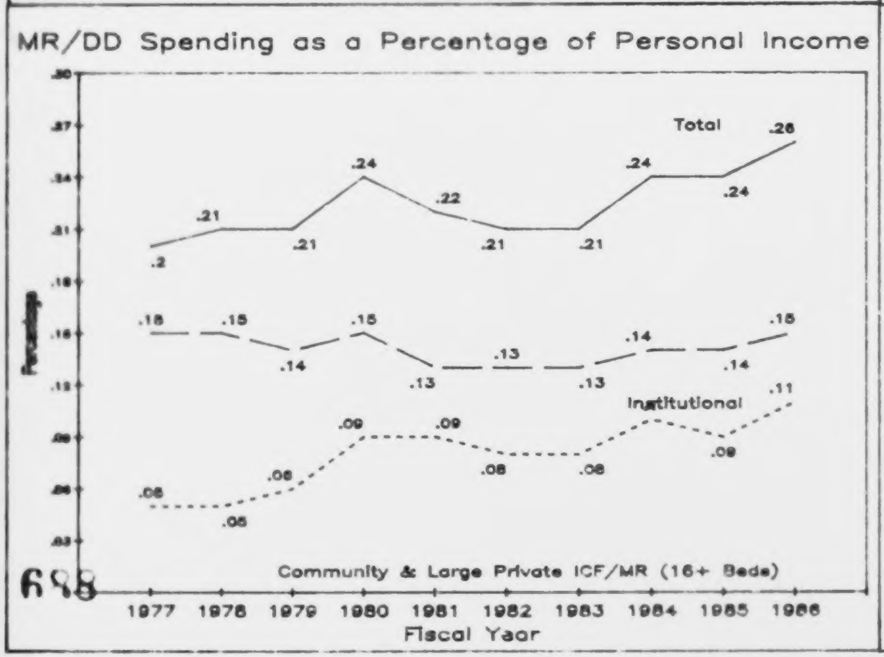
Source: Policy Analysis Program, U. of Illinois at Chicago UAF, 1988



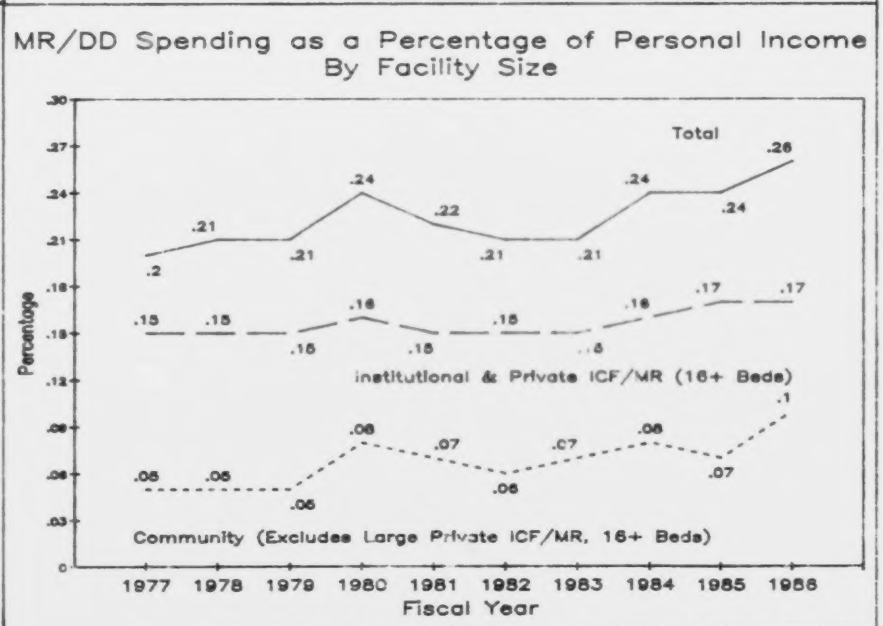
Personal Income in **WASHINGTON**



Total MR/DD Spending in **WASHINGTON**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income
By Facility Size

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

WASHINGTON 4/29/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	63,190,000	70,353,000	81,892,000	105,325,000	113,035,000	122,655,000	129,736,000	150,448,000	164,035,000	189,932,270
TOTAL INSTITUTIONAL/COMMUNITY	49,387,000	55,828,000	66,184,000	87,790,000	92,181,000	99,383,000	104,616,000	122,415,000	132,604,000	156,038,270
STATE FUNDS	42,742,000	45,471,000	37,990,000	49,931,000	48,715,000	56,767,000	65,768,000	69,197,000	73,477,000	94,536,000
General Funds	41,714,000	44,228,000	36,683,000	48,599,000	47,443,000	55,526,000	64,483,000	67,733,000	71,928,000	92,793,000
SSI State Supplement	1,028,000	1,243,000	1,307,000	1,332,000	1,272,000	1,241,000	1,285,000	1,464,000	1,549,000	1,743,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	6,645,000	10,357,000	28,194,000	37,859,000	43,466,000	42,616,000	38,848,000	53,218,000	59,127,000	61,502,270
Title XIX Funds	517,000	6,794,000	23,560,000	35,544,000	30,365,000	42,616,000	38,848,000	42,459,000	48,900,000	51,275,270
Title XX / SSBG Funds	6,128,000	3,563,000	4,634,000	2,315,000	13,101,000	0	0	10,759,000	10,227,000	10,227,000
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
INSTITUTIONAL SERVICES FUNDS	38,668,000	42,261,000	46,873,000	55,072,000	57,014,000	63,578,000	64,750,000	74,620,000	79,038,000	90,472,000
STATE FUNDS	38,151,000	35,920,000	25,845,000	27,687,000	32,732,000	29,988,000	41,357,000	42,956,000	46,916,000	57,943,000
General Funds	38,151,000	35,920,000	25,845,000	27,687,000	32,732,000	29,988,000	41,357,000	42,956,000	46,916,000	57,943,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	517,000	6,341,000	21,028,000	27,385,000	24,282,000	33,590,000	23,393,000	31,664,000	32,122,000	32,529,000
Federal ICF/MR	517,000	6,341,000	21,028,000	27,385,000	24,282,000	33,590,000	23,393,000	31,664,000	32,122,000	32,529,000
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
COMMUNITY WITH FEDERAL INCOME MAINT	24,522,000	28,092,000	35,019,000	50,253,000	56,021,000	59,077,000	64,986,000	75,828,000	84,997,000	99,460,270
COMMUNITY SERVICES FUNDS	10,719,000	13,567,000	19,311,000	32,718,000	35,167,000	35,805,000	39,866,000	47,795,000	53,566,000	65,566,270
STATE FUNDS	4,591,000	9,551,000	12,145,000	22,244,000	15,983,000	26,779,000	24,411,000	26,241,000	26,561,000	36,593,000
General Funds	3,563,000	8,308,000	10,838,000	20,912,000	14,711,000	25,538,000	23,126,000	24,777,000	25,012,000	34,850,000
SSI State Supplement	1,028,000	1,243,000	1,307,000	1,332,000	1,272,000	1,241,000	1,285,000	1,464,000	1,549,000	1,743,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	6,128,000	4,016,000	7,166,000	10,474,000	19,184,000	9,026,000	15,455,000	21,554,000	27,005,000	28,973,270
ICF/MR Funds	0	0	2,245,000	3,253,000	4,783,000	5,094,000	5,712,000	6,659,000	6,997,000	7,446,270
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	1,610,000	1,729,000	1,792,000	1,824,270
Large Private	0	0	2,245,000	3,253,000	4,783,000	5,094,000	4,102,000	4,930,000	5,205,000	5,622,000
Other Title XIX Funds	0	453,000	287,000	4,906,000	1,300,000	3,932,000	9,743,000	4,136,000	9,781,000	11,300,000
Title XIX Day Programs	0	453,000	287,000	4,906,000	1,300,000	3,932,000	9,743,000	2,447,000	3,347,000	5,337,000
Waiver	0	0	0	0	0	0	0	1,689,000	6,434,000	5,963,000
Title XX / SSBG Funds	6,128,000	3,563,000	4,634,000	2,315,000	13,101,000	0	0	10,759,000	10,227,000	10,227,000
Other Federal Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL INCOME MAINTENANCE	13,803,000	14,525,000	15,708,000	17,535,000	20,854,000	23,272,000	25,120,000	28,033,000	31,431,000	33,894,000
Suppl. Security Income (SSI)	8,365,000	8,482,000	8,662,000	9,167,000	10,346,000	11,578,000	12,493,000	14,983,000	17,202,000	18,652,000
Childhood Disability (SSDI)	5,438,000	6,043,000	7,046,000	8,368,000	10,508,000	11,694,000	12,627,000	13,050,000	14,229,000	15,242,000
F.F.P. Rate	53.72%	52.16%	51.64%	50.41%	50.00%	50.00%	50.00%	49.86%	48.86%	48.65%
Daily Institutional Population	2,504	2,418	2,362	2,239	2,028	1,956	1,877	1,857	1,845	1,845
Institutional Per Diem	42.31	47.88	54.37	67.20	77.02	89.05	94.51	109.79	117.37	134.35

WEST VIRGINIA

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. In FY 1977, mental retardation services were managed in the Department of Mental Health. There was a major administrative reorganization when John D. Rockefeller became Governor in 1978; DMH was abolished and all programs, including MR/DD, were transferred to the Department of Health. The "DD Services" program, is now under the Office of Behavioral Health Services in the Department of Health.

Budget Format. The State Executive Budget had the following format since 1978:

Department of Health
    State Funds
    Federal & Other Funds
  Administrative Services
    (same funding categories as above)
    Placement Program for DD (FY 1982 only)
  Behavioral Health Services
    State
    Federal & Other Funds
    Reimbursement to Behavioral Health Services
    Reimbursement to Community MH/MR Centers
    Behavioral Health Services Program for Social Services
    Special Olympics
    Study of Rehabilitation Centers
    Placement Program
  Greenbrier State Center
  Colin Anderson State Center
  Weston, Spencer, Huntington State Hospitals
    (same funding categories)

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included funds for Colin Anderson and Greenbrier Centers which had only developmentally disabled residents; a portion (based on population) of Weston, Spencer, and Huntington Hospitals, which had both mentally ill and mentally retarded residents, and Barboursville Hospital prior to its closure in FY 1978. Huntington ceased providing services to MR/DD persons after FY 1984. The State Executive Budget from FY 1978-80 combined all mental hospitals into one figure; therefore, actual expenditure figures and resident population statistics were obtained from the following sources at each facility.

Colin Anderson Center: Tom Stalek, Assistant Administrator, Colin Anderson Center, (p.c., telephone, 12/21 and 12/22/83; correspondence, 4/2/86).

Greenbrier Center: Norma Low, Business Office, Greenbrier Center, (p.c., telephone, 1/10/84 and 5/12/86).

Weston Hospital: Alex Cruz (p.c., telephone, 12/29/83) and John Bower (p.c., telephone, 5/19/86), Financial Office, Weston Hospital. Precise population records were available only from August, 1983. Since then, 24-25% of the residents were persons with developmentally disabilities. Cruz felt the population had been stable and that our analysis should use the same percentage for FYs 1977-82.

Spencer Hospital: John Bergman, Financial Manager, Spencer Hospital, (p.c., telephone, 12/28/83 and 5/9/86). Bergman had exact population figures for FYs 1981-86 only (20% DD). In 1967, the population was 19% "mentally deficient" according to a Department of Mental Health Annual Report. Therefore, Bergman agreed that using 20% for FYs 1977-80 was a reasonable estimate.

Huntington Hospital: Brenda Thompson, Budget Control, Huntington Hospital (p.c., telephone, 1/4/84) provided FYs 1977-83 funding estimates. FY 1984 figures were from James Elzey, Fiscal Officer, Office of Behavioral Health Services (p.c., correspondence, 7/25/86). Facility population figures were from Betty Bick, Medical Records (p.c., telephone, 1/9/84). She suggested we use estimates of 25% for FYs 1977-82, 20% for FY 1983 and 15% for FY 1984. All DD residents were transferred out by the end of FY 1984.

Lakin Hospital: According to the Medical Records office at Lakin, there were a significant number of mentally retarded residents (18% in 1967, according to the Department of Mental Health Annual Report), but they had no MR clients during the period of our analysis.

Barboursville Hospital: All residents were DD adults until it was converted to a Veteran's Home in late 1977 or early 1978 (FY 1978), according to Dr. Kerns, Office of Behavioral Services (p.c., telephone, 1/4/84). Therefore, 100% of the expenditures at Barboursville in FY 1977 were included in our analysis. After FY 1977, no expenditures for Barboursville were included in our figures.

State General Funds. Ninety percent of state employees' salaries were paid out of the State General Fund. For these employees, fringe benefits (retirement, Social Security, Medical and Life Insurance) were budgeted and paid out of a central account in the State Auditor's Office. The remaining (approximately 10%) of employees' salaries were paid out of the Special Fund and their benefits were distributed to and budgeted at the program level. Therefore, the expenditures reported by the state institutions did not include the bulk (90%) of the costs for fringe benefits. An estimate of fringe benefits was added to the institutional services State Funds category in our analysis. The estimate was for retirement and Social Security only. It did not include Medical and Life Insurance because those benefits varied so much by employee that it was difficult to estimate. However, Retirement and Social Security accounted for the large majority of fringe benefit costs. Don Adams, Chief Clerk in the State Auditor's Office (p.c., telephone, 1/3/84; correspondence, 5/21/86), used expenditure reports which broke out the amount of personnel costs at each state institution, and then took a standard 4 1/2% for retirement and the applicable Social Security percentage each year to determine estimated amounts for fringe benefits.

In our analysis for fringe benefits, we took the total amount that Mr. Adams reported for Colin Anderson, Greenbrier, and Barboursville Hospitals--but only a percentage of the amounts at Spencer, Huntington and Weston Hospitals representing the DD client population at those hospitals. From FYs 1978-83 the Auditor's Reports combined all mental hospitals together (FYs 1984-86 reports had per-facility costs). The percent of DD clients at each facility varied, so an estimated average percent to represent DD clients at all facilities was calculated for each year. For FYs 1978-82, we used 25% of Mr. Adams' calculations; in FY 1983, we used 20% of his figures.

The following total amounts were added to our State Fund to represent fringe benefits for institutional employees serving DD residents.

FY	Fringe Benefits $ in thousands
1977	$ 911
1978	916
1979	1,038
1980	1,135
1981	1,227
1982	1,429
1983	1,284
1984	1,320
1985	1,376
1986	1,448

Institutions in West Virginia were funded through the General Fund. Revenue from Title XIX and private pay receipts flowed into the state GF and not directly to the institution account. Colin Anderson and Greenbrier were the only ICF/MR state facilies; Colin Anderson from FYs 1980-86 and Greenbrier in FY 1986. In our analysis, we reduced the MR/DD State Funds figures by the amount attributable to the Federal ICF/MR share revenue and the private pay funds. Federal Title XIX ICF/MR funds and private pay sums were classified in the Federal Title XIX and Other State Funds categories of our analysis, respectively.

Other State Funds were private pay receipts and state contributions to the Foster Grandparent program. Although all facilities received private pay revenue into their General Fund, only Colin Anderson was able to identify exact amounts for DD residents for the FY 1977-86 period. Greenbrier's collections were identified for FYs 1984-86. Private pay receipts were obtained from Tom Stalek of Colin Anderson (p.c., telephone, 12/22/83; correspondence, 4/2/86) and Norma Low of Greenbrier (p.c., telephone, 5/12/86). Estimates for the Foster Grandparent Program were obtained from Ruth Anderson, Director, Foster Grandparent Program (p.c., telephone, 5/12/86). State contributions were modest, averaging $18 thousand per year for FYs 1984-86.

Federal ICF/MR. Stalek, the Assistant Administrator at Colin Anderson, noted that although the facility was certified as an ICF/MR in FY 1978, it did not receive any reimbursement funds until FY 1980. Stalek reported that the drop in Title XIX funds in FY 1983 was due to West Virginia being three months behind in receiving Federal payments. This accounts for the fluctuations from year to year in our analysis. Estimates for Greenbrier were obtained from Norma Low (p.c., telephone, 5/12/86).

Other Federal Funds include:

a. An estimated expenditure for FYs 1977-86 for the Foster Grandparent Program at Colin Anderson from Tom Stalek (p.c., telephone, 12/22/83) and Ruth Anderson (p.c., telephone, 5/12/86).

b. Fiscal Years 1977-86 School Lunch Program funds at Colin Anderson and Greenbrier Centers.

c. Titles VI-C and IV-C funds at Colin Anderson for the ten-year period.

d. Estimated ESEA Title I/Chapter I dollars going to DD residents in institutions (there were also ESEA funds going to community centers, which appeared under "Community Services"). The ESEA actual expenditures (for both DD and other children combined) for FYs 1977-80 and FYs 1984-86 were obtained from Dr. Ed Moran, Compensatory Education Office, State Department of Education (p.c., telephone, 1/4/84 and 5/9/86) and for FYs 1981-83 from Tom Johnson, Budget Director, Department of Health (p.c., correspondence, 12/12/83).

Dr. Moran provided the breakout of that portion of the funds which went to institutions and to the community mental health centers for community-based clients, for FYs 1979-86. He believed that all of the funds were going to the institutions in FY 1977 and FY 1978. To determine what portion of total ESEA funds supported DD students, Dr. Moran suggested we derive estimates based on 95% of the funds flowing to hospitals and 75% of the funds deployed to CMHCs.

The ESEA program was administered by the state central office in Charleston. According to Dr. Moran, the reason for the drop in funds in FY 1978 was a change in the law which allowed the funds to follow the child and flow to local education agencies. Also a gradual decline in funding over the years occurred which was due to the depopulation of the state hospitals.

III. COMMUNITY SERVICES FUNDS

Community services were provided through the 14 local Community Mental Health Centers. The Centers either provided the services themselves or contracted with other community agencies.

The state Executive Budget consolidated expenditures for DD, MI, and Alcohol and Drug Abuse. The Department received one general appropriation of state funds for Mental Health and DD from the Legislature. Jim Elzey (p.c., correspondence, 8/16/83 and 4/15/86), provided us with an estimate of the portion of community program expenditures expended for the DD population, based on reports of available funds. The figures he provided were about 30% of the total DD/MI/Alcohol expenditures for community services in West Virginia.

Federal ICF/MR funding as well as the proportions of these funds expended on small and large facilities was provided provided by James Green, Office of Behavioral Health Services (p.c., telephone, 5/16/86). Federal ICF/MR revenues were extrapolated from per-diems and the FFP rates. There was one private ICF/MR in the "small" category (Shawnee Hills, a 10-bed facility, was certified in 1984). There were two large ICFs/MR, Green Acres and Potomac, with 35 and 16 beds, respectively; the facilities began operations in FY 1984.

Waiver funding began in March, 1984. Approximately 45 individuals were served in the program in FY 1986. Funding estimates were provided by James Green (p.c., telephone, 5/16/86).

Federal Title XX/SSBG. According to Elzey (p.c., telephone, 10/21/83), no Title XX/SSBG funds were used for DD client services.

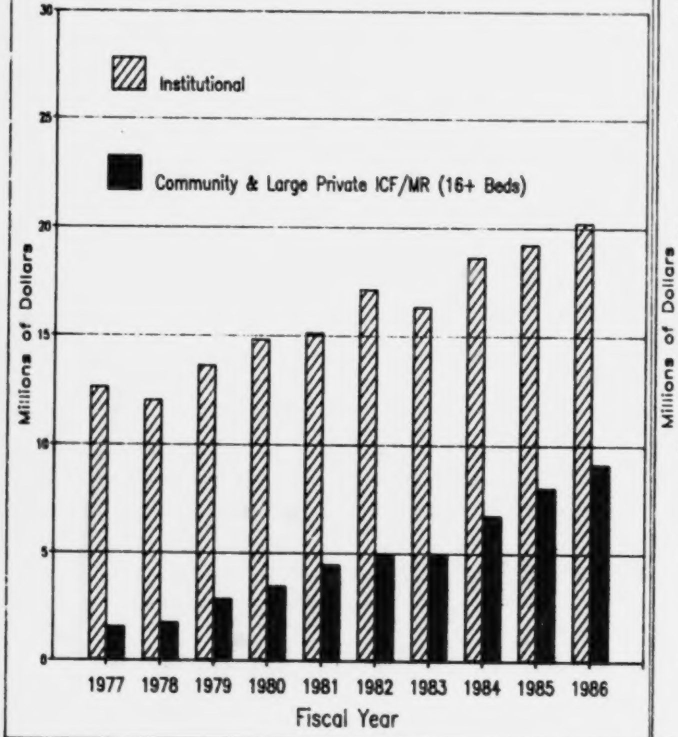
Other Federal Funds. These funds included ESEA, Title I/Chapter I funds from FYs 1979-86 which went to the community mental health centers (CMHCs) for supplementing special education programs. There was a large increase in FY 1981 due to a state decision to start funding more CMHCs. The following amounts of ESEA were included: ($ in thousands)

FY 1979 -	$ 15	1983 -	$136
1980 -	14	1984 -	186
1981 -	85	1985 -	201
1982 -	122	1986 -	208

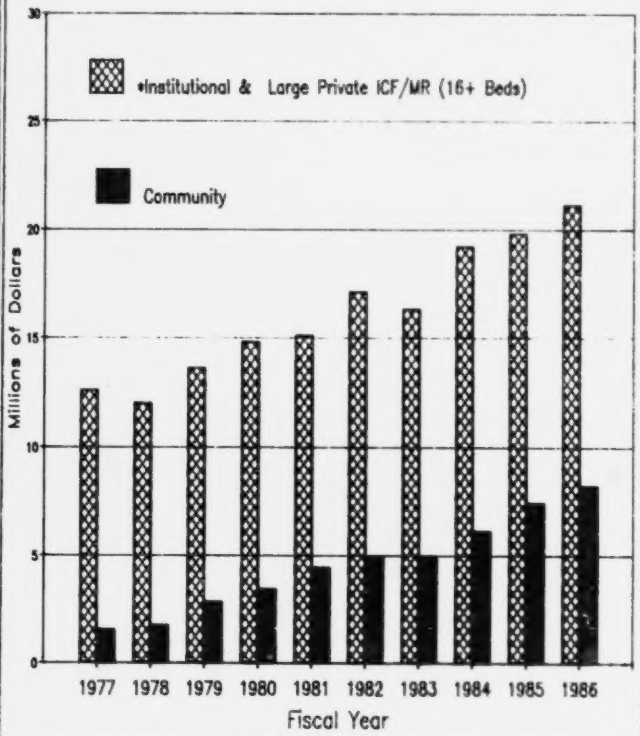
See "Other federal funds" under institutional services funds for source of figures. Also included in this category of our analysis were DD formula grant funds provided by Mr. Elzey.

WEST VIRGINIA

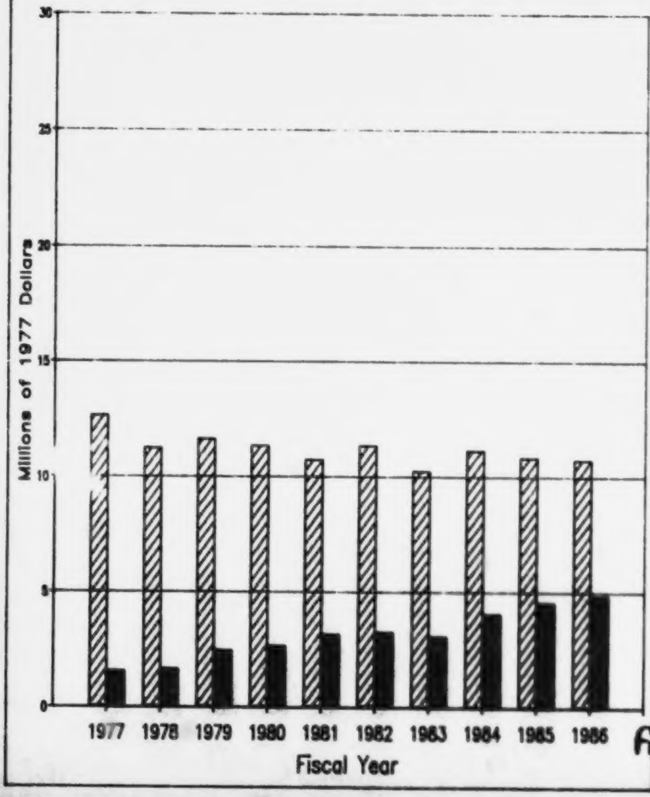
MR/DD Expenditures for *Institutional* & *Community* Services



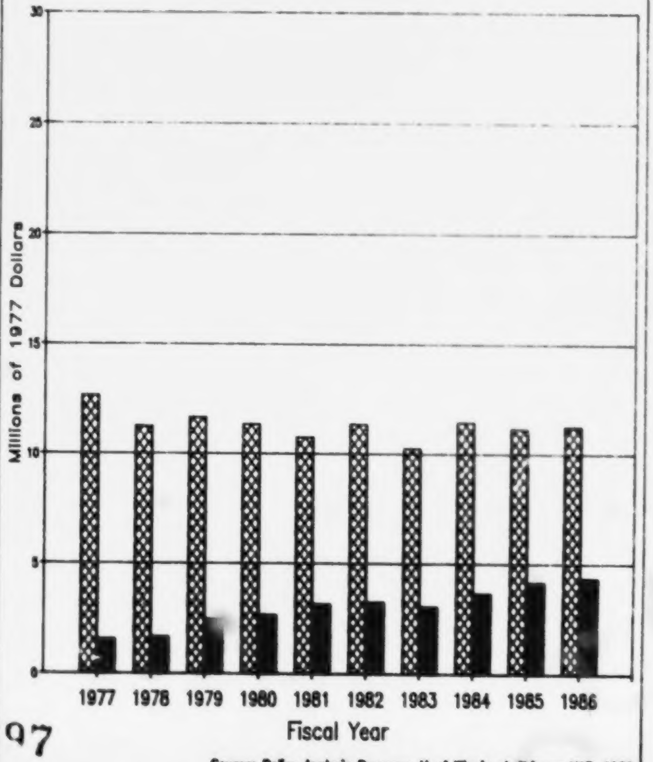
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



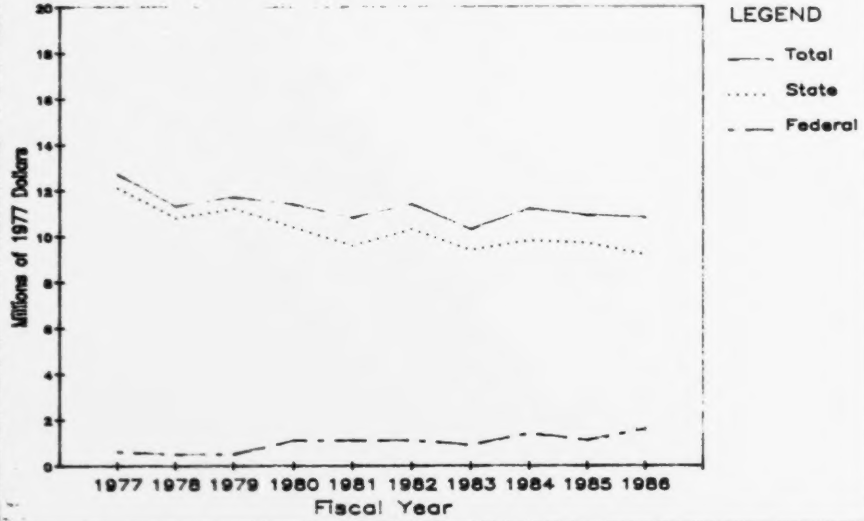
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

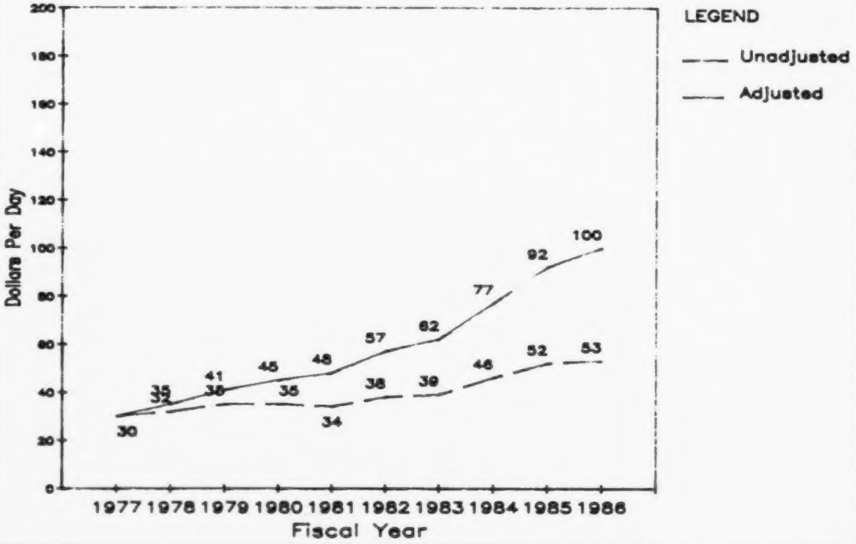
WEST VIRGINIA

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

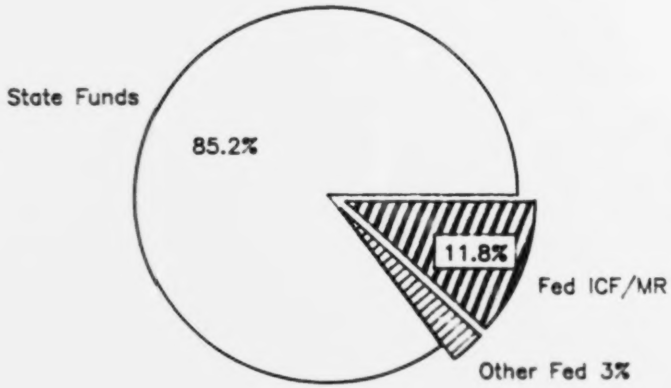


WEST VIRGINIA

Institutional Per Diem Costs: FY 1977–86

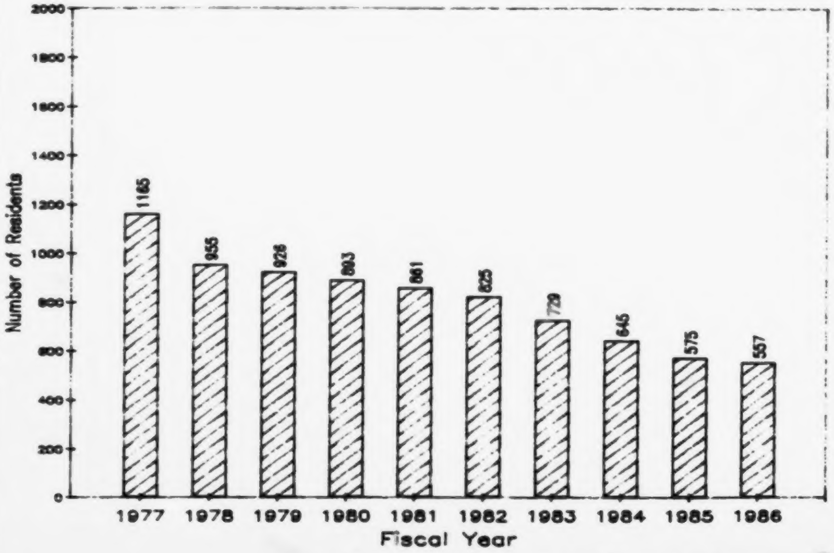


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $20.3 Million

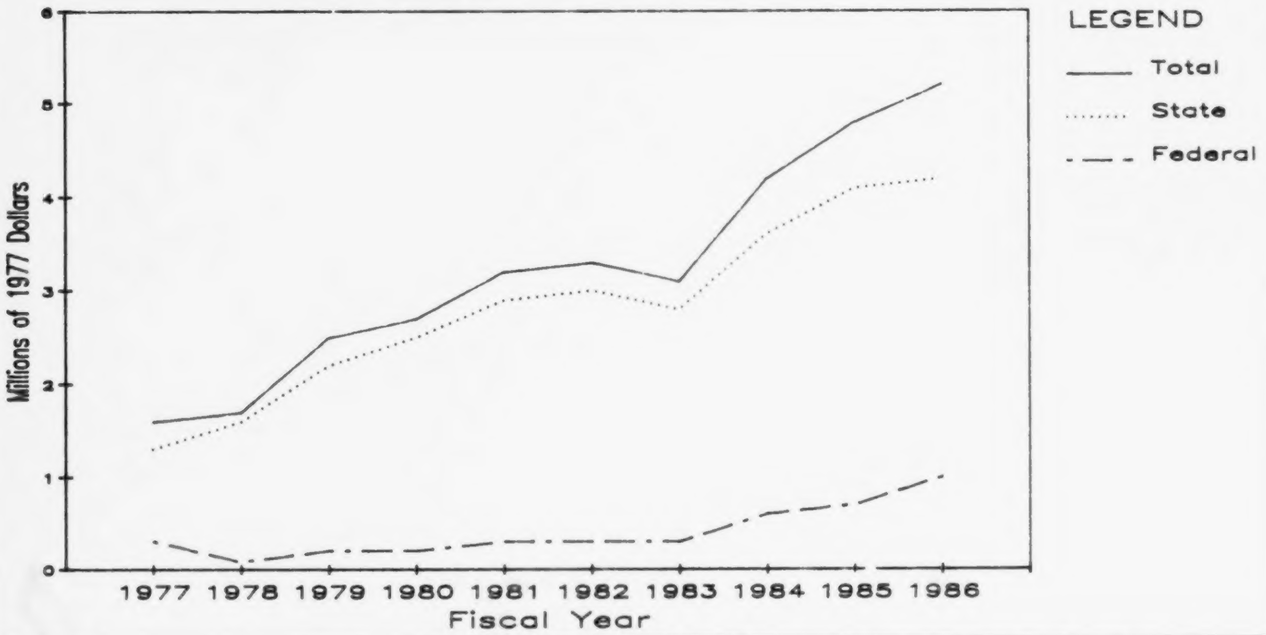
Average Daily Residents in Institutions



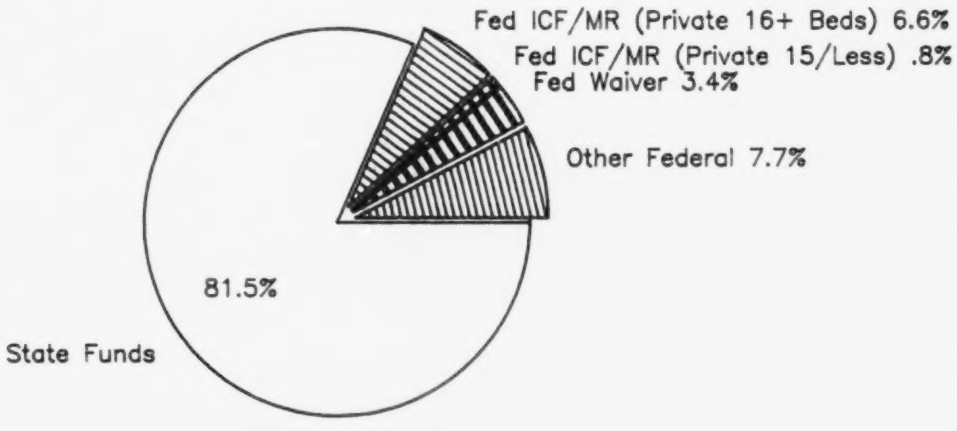
Source: Policy Analysis Program, U of Illinois at Chicago UAF, [illegible]

WEST VIRGINIA

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

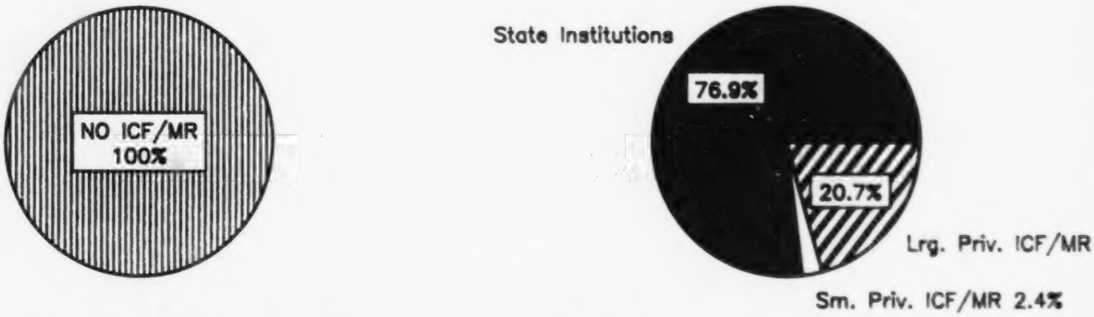


FY 1986 Total Funds: $9.7 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

WEST VIRGINIA

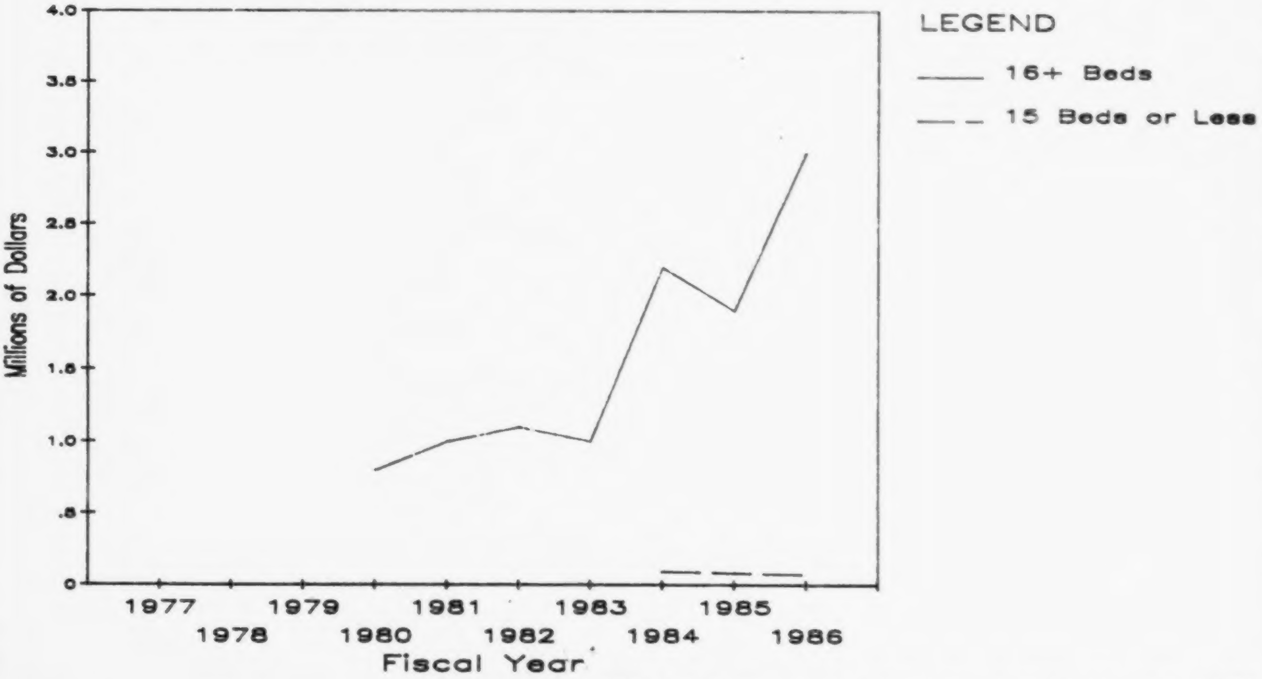
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $0 Million

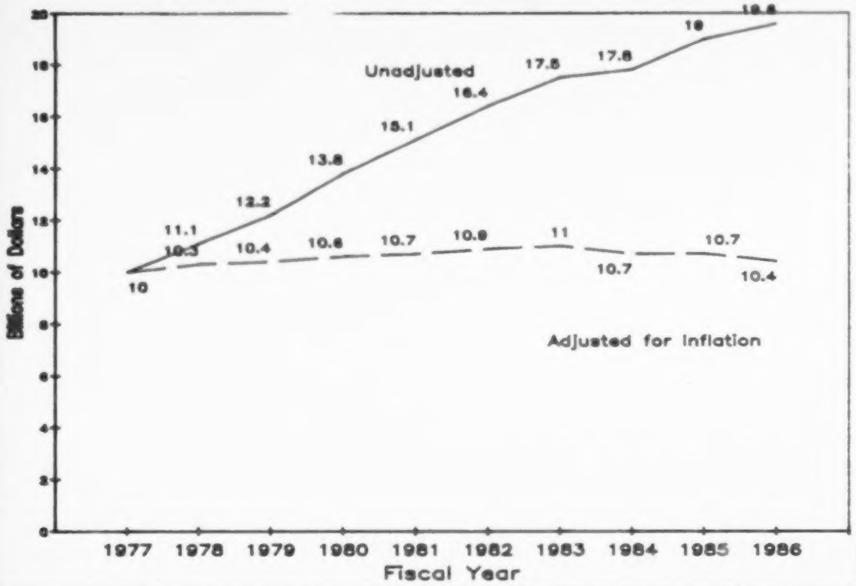
FY 1986 Total Federal Funds: $3.1 Million

By Facility Size, FY 1977–86

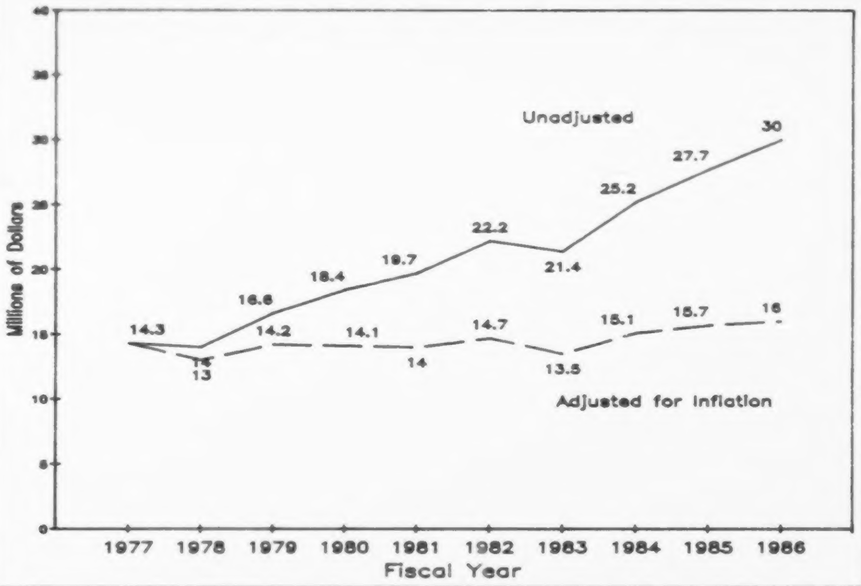


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

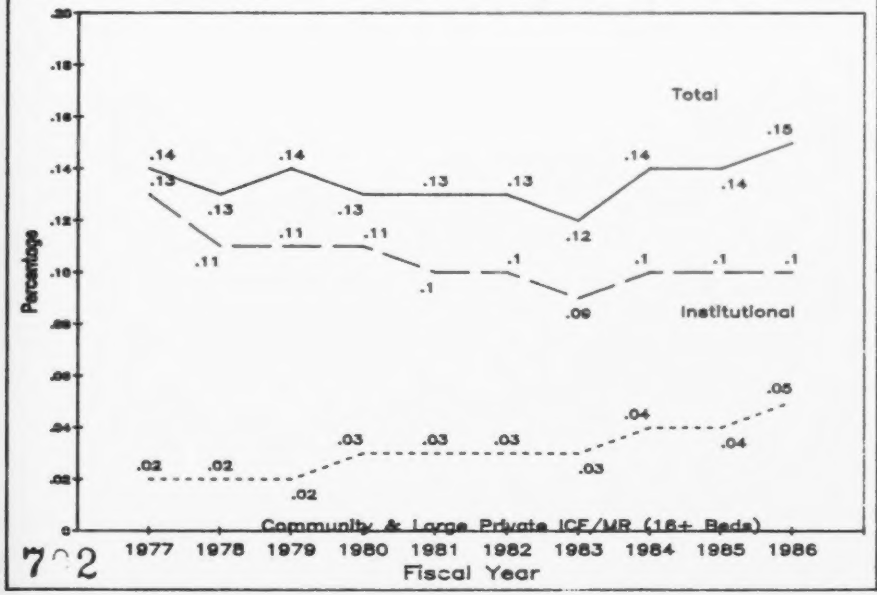
Personal Income in **WEST VIRGINIA**



Total MR/DD Spending in **WEST VIRGINIA**



MR/DD Spending as a Percentage of Personal Income



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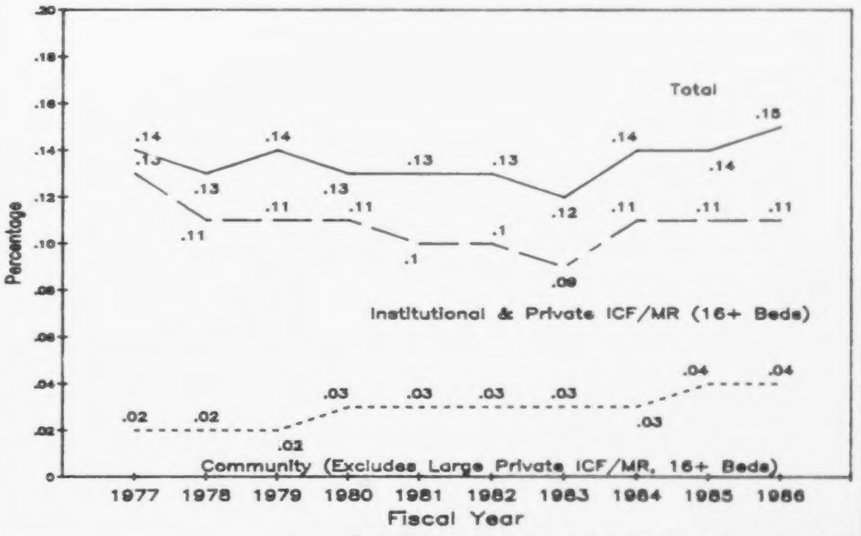
MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

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WEST VIRGINIA 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	35,575,000	37,630,000	42,726,000	47,600,000	54,540,000	61,208,000	63,500,000	71,328,400	77,916,700	83,296,513
TOTAL INSTITUTIONAL/COMMUNITY	14,267,000	13,936,000	16,616,000	18,356,000	19,726,000	22,164,000	21,382,000	25,223,400	27,742,700	30,003,513
STATE FUNDS	13,402,000	13,322,000	15,780,000	16,668,000	17,687,000	20,097,000	19,364,000	21,852,200	24,446,000	25,211,300
General Funds	13,272,000	13,184,000	15,583,000	16,404,000	17,320,000	19,640,000	18,818,000	21,352,500	23,928,600	24,749,800
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	130,000	138,000	197,000	264,000	367,000	457,000	546,000	499,700	517,400	461,500
FEDERAL FUNDS	865,000	614,000	836,000	1,688,000	2,039,000	2,067,000	2,018,000	3,371,200	3,296,700	4,792,213
Title XIX Funds	0	0	0	763,000	1,036,000	1,082,000	980,000	2,368,900	2,152,200	3,411,400
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	865,000	614,000	836,000	925,000	1,003,000	985,000	1,038,000	1,002,300	1,144,500	1,380,813
INSTITUTIONAL SERVICES FUNDS	12,699,000	12,142,000	13,732,000	14,867,000	15,212,000	17,164,000	16,420,000	18,129,300	19,284,000	20,286,900
STATE FUNDS	12,124,000	11,615,000	13,171,000	13,487,000	13,589,000	15,511,000	14,923,000	15,804,800	17,254,400	17,284,500
General Funds	11,994,000	11,477,000	12,974,000	13,223,000	13,222,000	15,054,000	14,377,000	15,305,100	16,737,000	16,823,000
Other State Funds	130,000	138,000	197,000	264,000	367,000	457,000	546,000	499,700	517,400	461,500
FEDERAL FUNDS	575,000	527,000	561,000	1,380,000	1,623,000	1,653,000	1,497,000	2,324,500	2,029,600	3,002,400
Federal ICF/MR	0	0	0	763,000	1,036,000	1,082,000	980,000	1,767,600	1,447,600	2,367,300
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	575,000	527,000	561,000	617,000	587,000	571,000	517,000	556,900	582,000	635,100
COMMUNITY WITH FEDERAL INCOME MAINT	22,876,000	25,488,000	28,994,000	32,733,000	39,328,000	44,044,000	47,080,000	53,199,100	58,632,700	63,009,613
COMMUNITY SERVICES FUNDS	1,568,000	1,794,000	2,884,000	3,489,000	4,514,000	5,000,000	4,962,000	7,094,100	8,458,700	9,716,613
STATE FUNDS	1,278,000	1,707,000	2,609,000	3,181,000	4,098,000	4,586,000	4,441,000	6,047,400	7,191,600	7,926,800
General Funds	1,278,000	1,707,000	2,609,000	3,181,000	4,098,000	4,586,000	4,441,000	6,047,400	7,191,600	7,926,800
SSI State Supplement	0	0	0	0	0	0	0	0	0	0
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	290,000	87,000	275,000	308,000	416,000	414,000	521,000	1,046,700	1,267,100	1,789,813
ICF/MR Funds	0	0	0	0	0	0	0	512,900	526,100	710,000
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	91,000	79,500	73,600
Large Private	0	0	0	0	0	0	0	421,900	446,600	636,400
Other Title XIX Funds	0	0	0	0	0	0	0	88,400	178,500	334,100
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	88,400	178,500	334,100
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	290,000	87,000	275,000	308,000	416,000	414,000	521,000	445,400	562,500	745,713
FEDERAL INCOME MAINTENANCE	21,308,000	23,694,000	26,110,000	29,244,000	34,814,000	39,044,000	42,118,000	46,105,000	50,174,000	53,293,000
Suppl. Security Income (SSI)	16,466,000	18,313,000	19,836,000	21,793,000	25,457,000	28,631,000	30,875,000	34,485,000	37,451,000	39,721,000
Childhood Disability (SSDI)	4,842,000	5,381,000	6,274,000	7,451,000	9,357,000	10,413,000	11,243,000	11,620,000	12,723,000	13,572,000
F.F.P. Rate	71.90%	70.60%	70.16%	68.05%	67.35%	67.80%	67.95%	69.92%	70.57%	71.53%
Daily Institutional Population	1,165	955	926	893	861	825	729	645	575	557
Institutional Per Diem	29.86	34.83	40.63	45.49	48.41	57.00	61.71	76.80	91.88	99.79

WISCONSIN

TECHNICAL NOTES

I. GENERAL INFORMATION

Principal MR/DD State Agency. Services are administered by the Department of Health and Social Services (DHSS). Institutional services are the responsibility of the Division of Care and Treatment Facilities, while community services are managed by the Division of Community Services. There have been several departmental reorganizations in the past ten years, but mental health and developmental disabilities expenditures have always been consolidated in the Biennial Executive Budget documents. Therefore, to identify annual expenditures for DD services, DHSS personnel were contacted.

Budget Format. Expenditure categories in the Wisconsin Executive Budget documents lacked MR/DD detail, as indicated below. The years in which each division appeared in the budget explanation are shown in parentheses.

- Department of Health & Social Services (FYs 1977--86)
  - General Purpose Revenue (GPR)
  - Federal Revenue
  - Program Revenue
  - Segregated Revenue
- Mental Health Services (FY 1977 only)
  - DD Institutions
  - Local MH Boards
  - Administration and Field Services
- General Administration/Operations (FYs 1977-86)
  - (Same Funding Categories)
- Care and Treatment Facilities (FYs 1982-86)
  - (Same Funding Categories)
- Community Services (FYs 1977-86--also included institutions FYs 1978-81
  - (Same Funding Categories)

Note on Data Sources. Expenditures for operations were provided by Gloria Granberg, Budget Office, Division of Care and Treatment Faciltles/DHSS (personal communication, telephone, 1/5/84; 1/10/84; 4/29/86; 6/16/86). Reference was made to the State Department of Health and Social Services' "Annual Fiscal Report for Period Ending June 30, 1985" for FY 1985 actual figures; FY 1986 figures were estimated expenditures based on appropriation. See detailed information under Section III, Community Services Funds for a discussion of the methods utilized to determine the components of community funding.

II. INSTITUTIONAL SERVICES FUNDS

Institutional services included the facilities: Northern, Central and Southern Centers for the Developmentally Disabled.

Other State Funds included (a) state share of Medical Assistance (M.A.) reimbursements (Title XIX, ICF/MR program); (b) insurance and private pay; and (c) County 51 Board payments for roughly 5% of the cost of care of individuals who are their responsibility, residing at the state centers.

Federal ICF/MR. Medicaid funds appeared in Executive Budget documents labeled "Program Revenue." The federal and state shares were combined. In our analysis, federal and state funds have been separated, based on Federal Financial Participation (FFP) rates established by the Health Care Financing Administration (HCFA). Since the Medical Assistance funds represented gross collections on a cash basis, there were year to year fluctuations. For example, the big increase in FY 1981 was due to receipt of previous years' claims from HCFA.

Other Federal Funds included Medicare; Foster Grandparent; Title I-ESEA; Title IV, Deaf/Blind program; and LSCA, Library Service grants. Under the Chapter I, ESEA Block Grant (beginning in FY 1982), the Centers received fewer funds than under the previous Title I program.

III. COMMUNITY SERVICES FUNDS

Community services expenditures appeared in the state Executive Budget documents under the category, Division of Community Services/DHSS. They were consolidated with expenditures for mental health community services, and with expenditures for the various social service programs such as AFDC and Food Stamps. Services were administered and provided by Community Mental Hygiene Boards (Chapter 51 Boards, after the relevant statute). The Boards were provided a basic allocation each year, termed "community aids," which consisted of state GPR funds and Federal Funds (primarily Title XX/SSBG). The Boards were required to match community aid funds with local dollars, and many counties also supplemented above the required match amount. Most of the community aids was not earmarked, thus allowing Boards to determine their own priorities for spending. Initial figures in our analysis were based on expenditure reports from the boards (p.c., telephone, Barry Jensen, Division of Community Services, DHSS). Jensen provided total operation expenditures for FYs 1977-82 for all client groups, and net county DD services costs, resulting in a calculated figure each year for the percentage of total operation attributable to DD services (FY 1977 -32.6%; FY 1978--30.5%; FY 1979--30.9%; FY 1980--31.4%; FY 1981--28.9%; FY 1982--30.4%).

Updated expenditure figures for FYs 1982-86 were provided by Steve Stanek, Wisconsin Council on Developmental Disabilities (p.c., telephone, 4/28/86). Individual program components were "budgeted," which were compared to "actual" totals, for FYs 1982-85; FY 1986 was an estimated expenditure based on appropriation. In addition to the programs operated by the Division of Community Services, expenditures for private ICFs/MR were included in our analysis. Figures for FY 1985 (actual) and for FY 1986 (estimated) were provided by Robin Cooper, Community Integration Program (CIP), Divison of Community Services (p.c., telephone, 5/19/86). The combination of expenditure figures reported from these two sources is illustrated in the following table for the two most recent years of the analysis:

Wisconsin Budget	FY 1985 Amount	FY 1986 Amount	Analysis Category
"51 System General Fund"	$40,559.2	$43,448.9	General Fund
Other State Grants	157.9		"
Comm. Options Pgm	1,911.2	2,000.0 (est.)	"
DD Child Care Inst.*	1,431.3	1,400.0 (est.)	"
Title XIX Waiver Match	249.4	596.9 (est.)	"
Title XX/SSBG Match	2,173.1	3,215.2	"
Private ICF/MR Match	12,645.8	12,952.8	"
SUBTOTAL GENERAL FUND	$59,127.8	$63,613.8	GENERAL FUND
County Match	3,935.5	4,297.1	Other State Funds
SUBTOTAL OTHER STATE	$ 3,935.5	$ 4,297.1	OTHER STATE FUNDS
Private ICF/MR 15 Beds or Less	$ 1,070.3	$ 1,132.8	Small Private ICF/MR
Private ICF/MR 16 Beds or More	14,192.9	15,944.9	Large Private ICF/MR
Title XIX Program	1,255.3	1.300.0 (est.)	Title XIX Day
Comm.Int.Pgm (CIP)	328.9	787.1	Title XIX Waiver
Local Dept of Social Service (@ 22%)	613.0	906.9	Title XX/SSBG
Title I/DD Act	543.2	550.0	Other Fed. Funds
SUBTOTAL FED. FUNDS	$18,003.6	$20,621.7	FEDERAL FUNDS

* Child Care Institutions served a signficant number of out-of-state children, and also children without developmental disabilities; we therefore estimated DD expenditures at 50% of the reported total expenditures.

Small Private ICF/MR in FY 1986 consisted of 14 facilities, total of 149 beds, reimbursement per diem $37.69, and a 97.3% occupancy rate.

Large Private ICF/MR consisted of nineteen facilities, total of 1,602 beds (range 60 to 491), reimbursement per diem of $49.28, and a 97.3% occupancy rate. In FY 1984, there were approximately 30 privately-run community based ICF/MRs serving 1400 residents at $55 per day according to Randy McElhouse, Bureau of Health Care Finance/DHSS. He estimated that the total expenditures for these facilities was $27 million. McElhouse further indicated that the population at private ICFs/MR had changed by two percent or less over the previous eight years, and suggested that we deflate the FY 1984 figure to obtain estimates of expenditures for FYs 1977-83 (p.c., telephone, 8/31/83).

Title XIX Day Program revenues were those reported by S. Stanek (p.c. 4/28/86) in conjunction with the Chapter 51 board expenditures.

Federal Title XX/SSBG. According to B. Jensen's records, $12,265,000 of Title XX funds were budgeted each year for MH & MR client services. He recommended estimating the amount of Title XX/Social Services Block Grant funds for DD clients by using the percentage that DD services comprised of the Title XX MI/DD operations. This ranged from 32.6% in 1977 to 30.4% in 1982. Revenues for FYs 1983-86 were estimated @ 22% of the Local County Department of Social Services totals, reported by S. Stanek (see General Fund category above in the table for the Title XX/SSBG state match figures). Paul Minkus, Division of Community Services (p.c, telephone, 4/29/86) indicated that roughly 22% of the Community Aid budget was Federal Social Service Block Grant revenue. He also indicated that the reduction in Federal SSBG attributable to MR/DD persons since FY 1982 was related to the fact that, although SSBG claims were generated by System 51 Boards, there was no need to utilize these claims in accessing available SSBG dollars.

Other Federal Funds were Developmental Disability Formula Grant funds. Exact figures for FYs 1980-83 were obtained from the Council on DD (p.c., correspondence, Marion Bates, 8/29/83). FYs 1977-79 figures were from the Federal Administration on Developmental Disabilities, Budget Office (correspondence, 6/18/84).

Local Funds played a significant role in Wisconsin's DD service system. Local funds were the net Chapter 51 Boards' expenditures for community services. These were provided by Barry Jensen (p.c., telephone, 8/29/83). These funds were not included in our analysis of Wisconsin's expenditures to facilitate comparison with other states, where local expenditures were not available. Over the FYs 1977-84 period, local (county) MR/DD expenditures advanced from $217,000 to $13,000,000. In FY 1986, there was a breakdown of these local funds (p.c., telephone, S. Stanek, 4/28/86): County Over-match ($8,897.1 thousand) and Federal/state SSI funds passed through to county ($10 million, imputed).

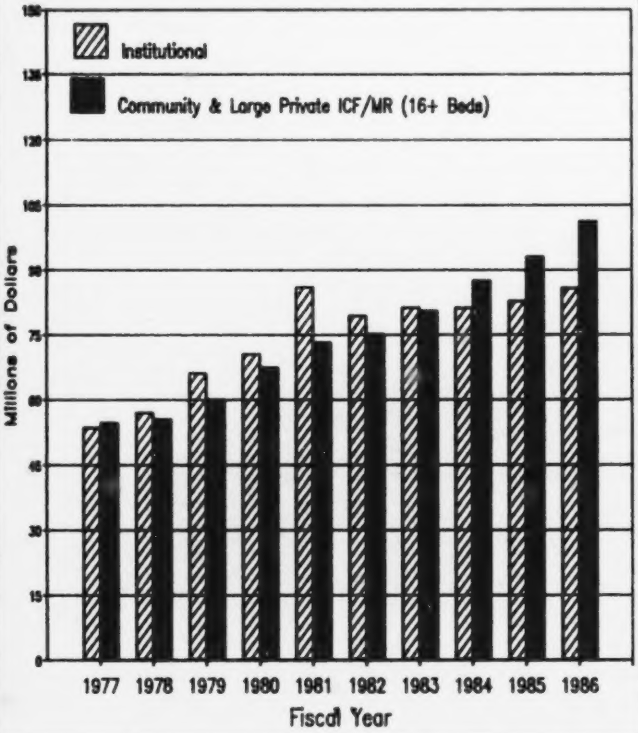
Non-ICF/MR Nursing Homes. It was reported (p.c., telephone, R. Cooper, 5/19/86) that there were an estimated 4,000 individuals with developmental disabilities residing in non-specialized nursing homes throughout the state. It was further estimated that 2,100 of these individuals did not have a primary health service need, and could therefore benefit from specialized developmental disabilities residential programs. Cost estimates for these individuals (@ $35/day) in the current settings amount to $26.8 million. These figures were not included in the current analysis.

Revision of FYs 1977-81 Figures

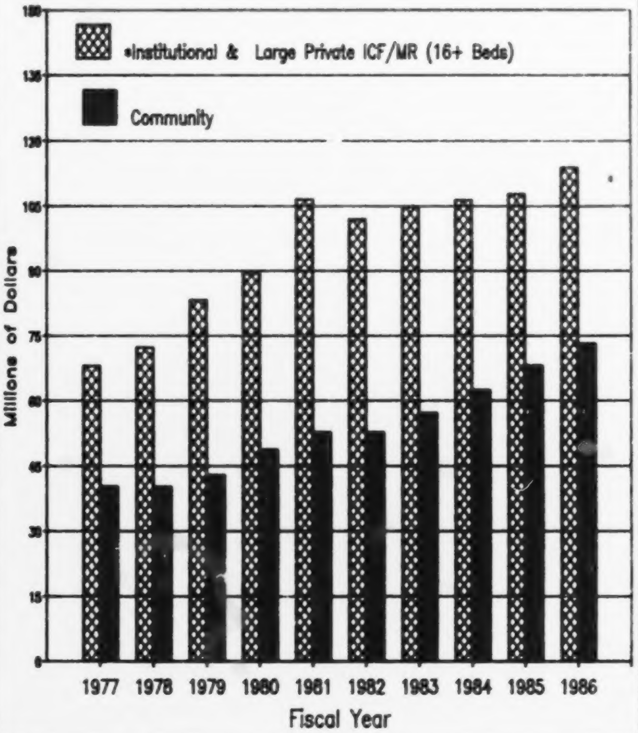
FYs 1977-82 community services figures were initially obtained from B. Jensen (p.c., telephone, 8/29/83). Since the updated FYs 1982-86 figures offered additional detail in the amount of spending attributable to individuals with developmental disabilities, FY 1977 through FY 1981 expenditure data were modified. Revised FY 1977 through FY 1981 General Fund and Other State Fund amounts were imputed from the FY 1982 General Fund and Other State Fund figures, using the annual rates of growth in the over-all state/Federal community aids funding (all disability groups). In other words, the recent analysis methodology, which provided revised figures for FYs 1982-86, was extended back to FY 1977 by representing MR/DD state spending each year in the same increments as over-all community aids spending. This method of revised estimation for these years was consistent with reports from Wisconsin DHSS and Council on DD officials that state spending in the community in the period FYs 1977-81 grew, but over the entire ten year period, had barely kept pace with inflation. The major growth in the community aids spending occurred between FY 1975 and FY 1976--31%.

WISCONSIN

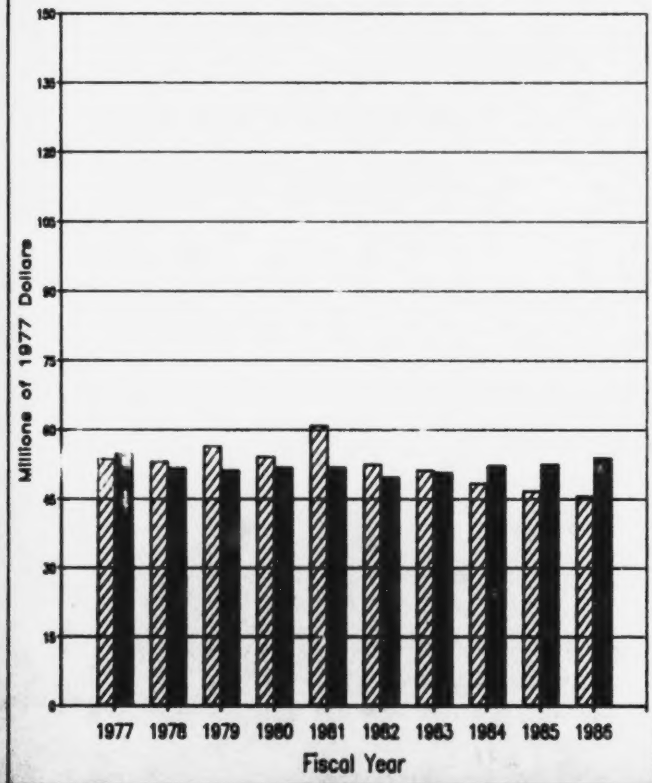
MR/DD Expenditures for *Institutional* & *Community* Services



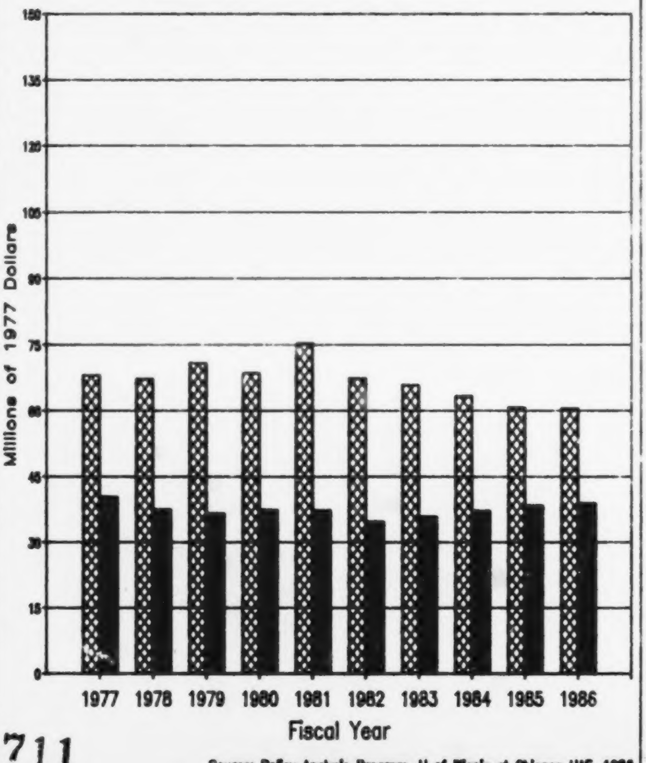
MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



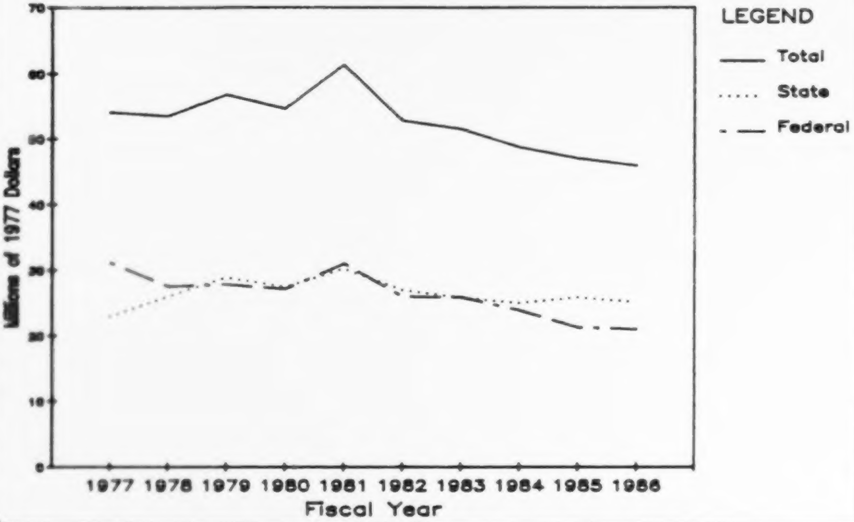
Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

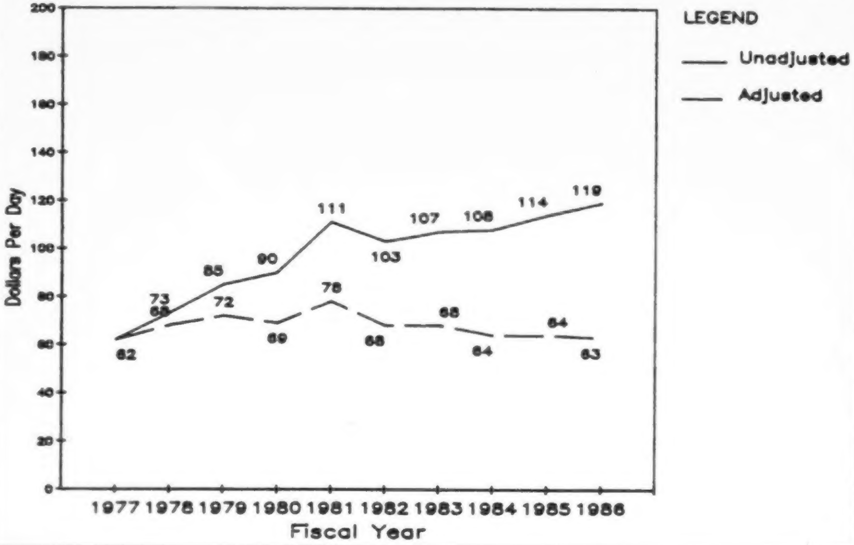
WISCONSIN

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

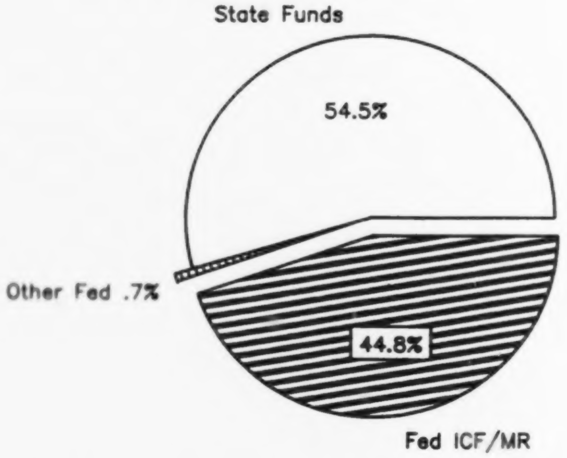


WISCONSIN

Institutional Per Diem Costs: FY 1977–86

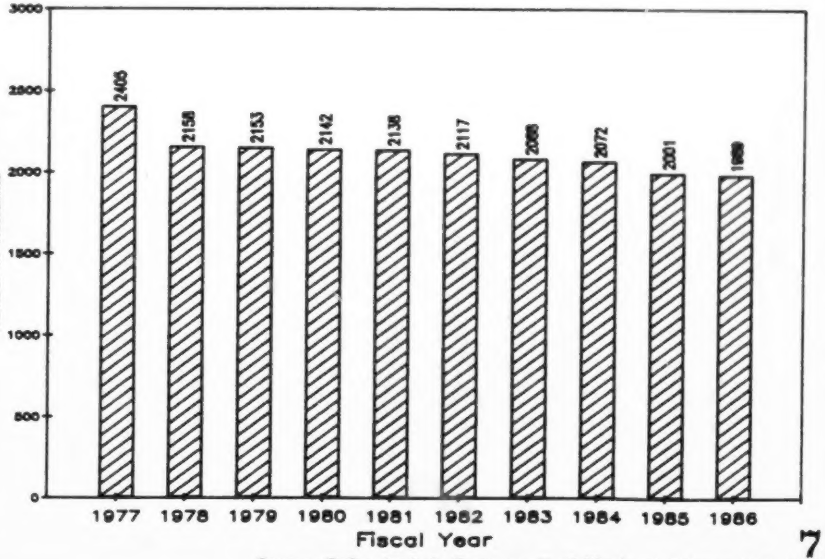


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $86.2 Million

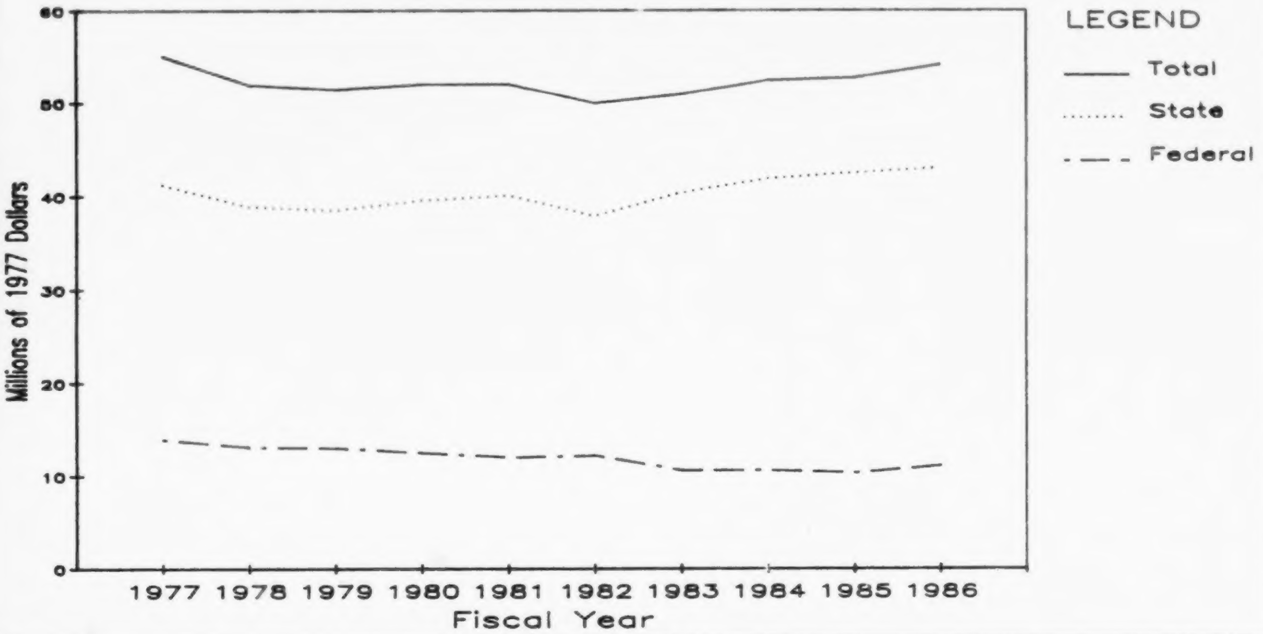
Average Daily Residents in Institutions



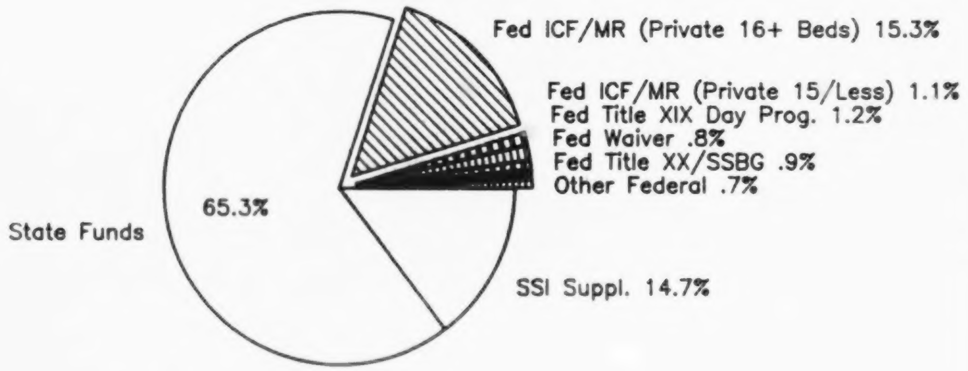
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

WISCONSIN

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

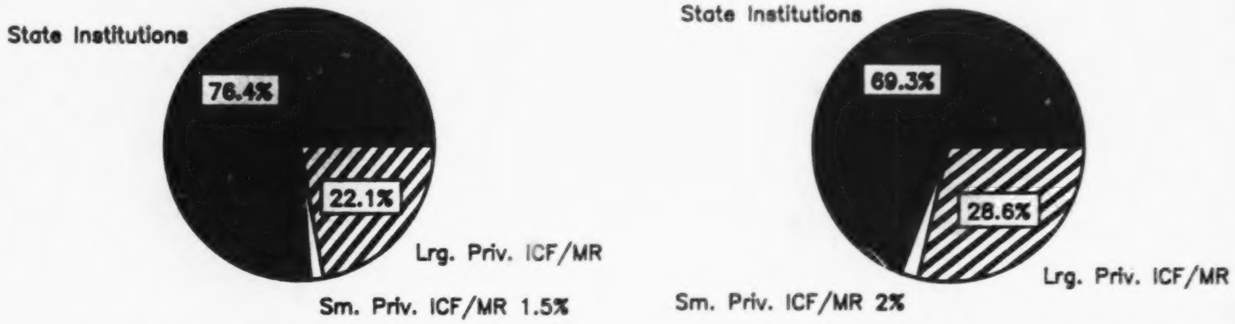


FY 1986 Total Funds: $104.0 Million

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

WISCONSIN

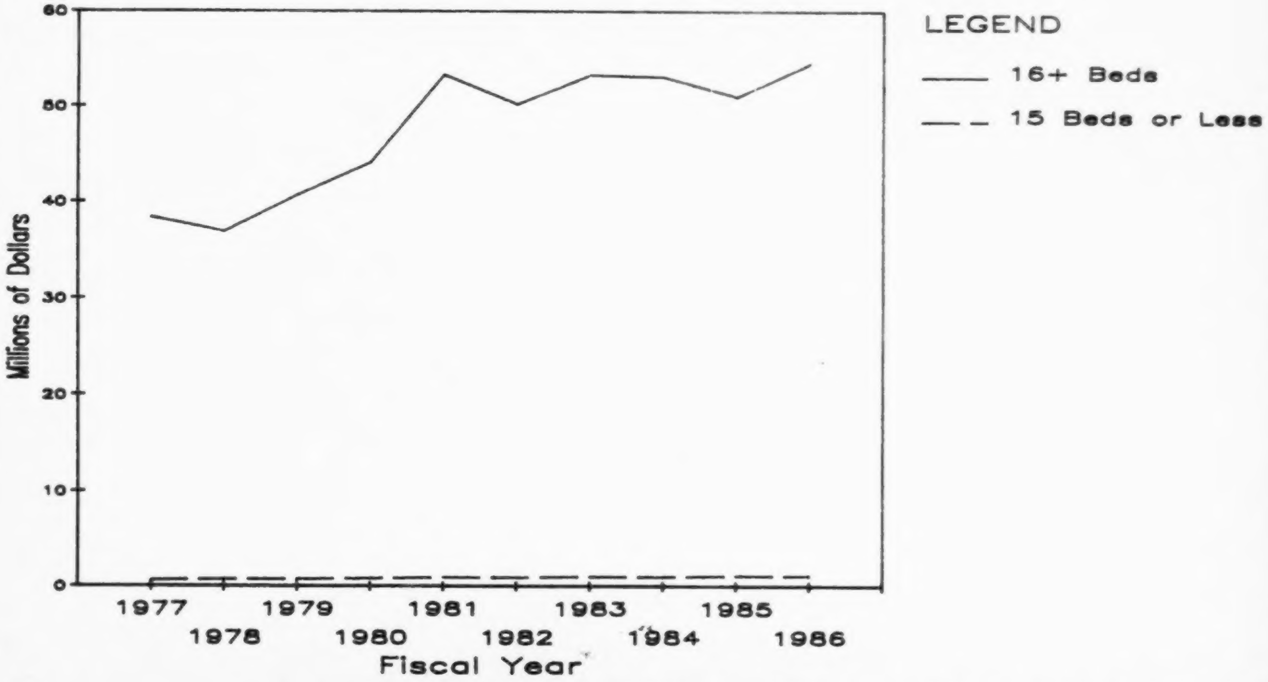
Federal ICF/MR Funding by Facility Setting: FY 1977 and FY 1986



FY 1977 Total Federal Funds: $39 Million

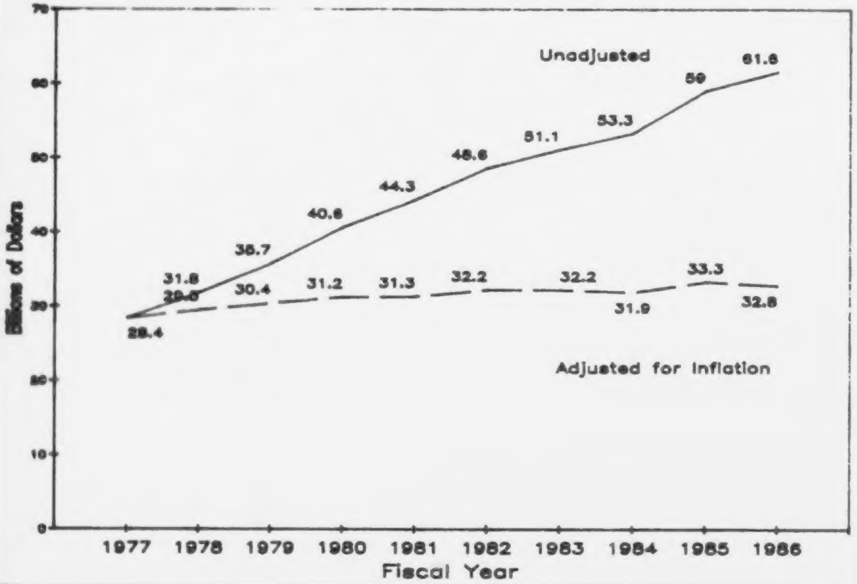
FY 1986 Total Federal Funds: $55.7 Million

By Facility Size, FY 1977–86

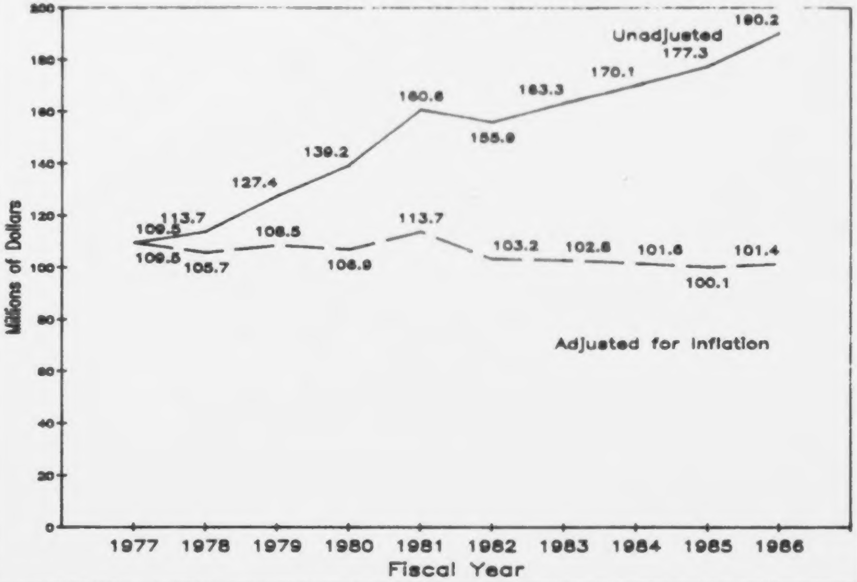


Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

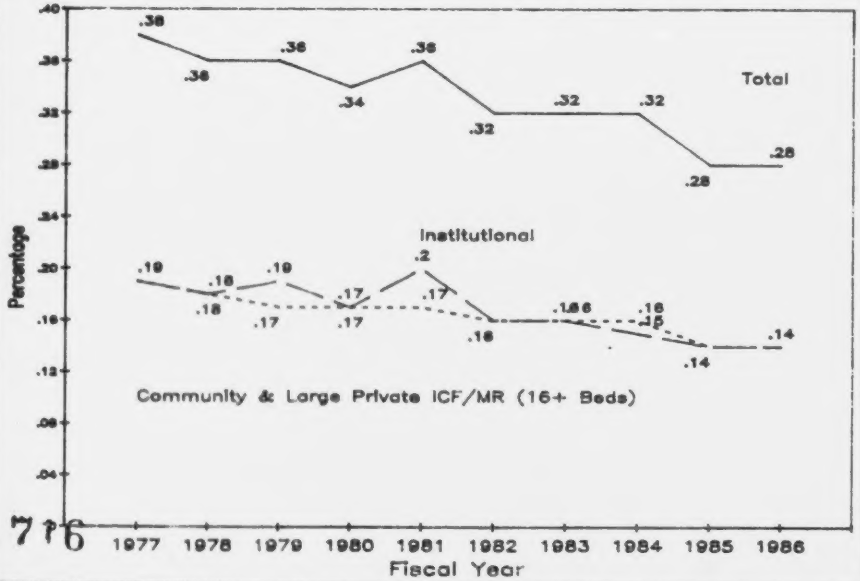
Personal Income in WISCONSIN



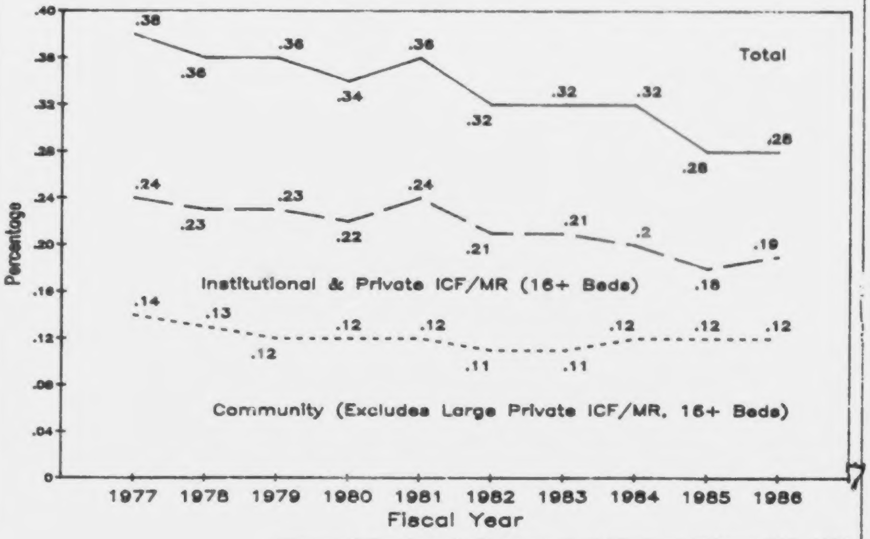
Total MR/DD Spending in WISCONSIN



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

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WISCONSIN 5/9/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	127,868,000	134,274,000	150,702,000	166,316,000	194,341,000	193,712,900	204,576,300	215,129,500	226,036,600	253,767,900
TOTAL INSTITUTIONAL/COMMUNITY	109,478,000	113,730,000	127,391,000	139,239,000	160,554,000	155,913,900	163,266,300	170,068,500	177,265,600	190,228,900
STATE FUNDS	64,495,000	70,124,000	79,508,000	87,721,000	99,727,000	98,385,300	105,486,900	112,409,100	121,593,100	130,176,500
General Funds	35,787,000	40,726,000	42,592,000	47,454,000	52,786,000	53,688,800	56,852,800	63,310,700	65,785,300	69,642,700
SSI State Supplement	6,898,000	7,807,000	9,384,000	9,987,000	10,587,000	10,675,000	11,486,000	12,107,000	12,806,000	15,301,000
Other State Funds	21,810,000	21,591,000	27,532,000	30,280,000	36,354,000	34,021,500	37,148,100	36,991,400	43,001,800	45,232,800
FEDERAL FUNDS	44,983,000	43,606,000	47,883,000	51,518,000	60,827,000	57,528,600	57,779,400	57,659,400	55,672,500	60,052,400
Title XIX Funds	38,980,000	37,583,000	41,364,000	44,852,000	54,107,000	51,131,000	55,466,900	55,375,300	53,667,500	57,746,700
Title XX / SSBG Funds	3,998,000	3,740,000	3,789,000	3,851,000	3,544,000	3,728,000	326,300	523,100	613,000	906,900
Other Federal Funds	2,005,000	2,283,000	2,730,000	2,815,000	3,176,000	2,669,600	1,986,200	1,761,000	1,392,000	1,398,800
INSTITUTIONAL SERVICES FUNDS	54,025,000	57,388,000	66,517,000	70,908,000	86,442,000	79,770,000	81,749,000	81,563,000	83,192,700	86,195,300
STATE FUNDS	22,913,000	27,860,000	33,849,000	35,674,000	42,608,000	40,630,000	40,786,000	41,725,000	45,723,800	46,964,600
General Funds	2,855,000	8,010,000	8,150,000	7,519,000	8,605,000	8,987,000	8,421,000	8,571,000	6,657,500	6,028,900
Other State Funds	20,058,000	19,850,000	25,699,000	28,155,000	34,003,000	31,643,000	32,365,000	33,154,000	39,066,300	40,935,700
FEDERAL FUNDS	31,112,000	29,528,000	32,668,000	35,234,000	43,834,000	39,140,000	40,963,000	39,838,000	37,468,900	39,230,700
Federal ICF/MR	29,777,000	27,915,000	30,660,000	33,169,000	41,408,000	37,161,000	39,674,000	38,798,000	36,820,100	38,581,900
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	1,335,000	1,613,000	2,008,000	2,065,000	2,426,000	1,979,000	1,289,000	1,040,000	648,800	648,800
COMMUNITY WITH FEDERAL INCOME MAINT	73,843,000	76,886,000	84,185,000	95,408,000	107,899,000	113,942,900	122,827,300	133,566,500	142,843,900	167,572,600
COMMUNITY SERVICES FUNDS	55,453,000	56,342,000	60,874,000	68,331,000	74,112,000	76,143,900	81,517,300	88,505,500	94,072,900	104,033,600
STATE FUNDS	41,582,000	42,264,000	45,659,000	52,047,000	57,119,000	57,755,300	64,700,900	70,684,100	75,869,300	83,211,900
General Funds ·	32,932,000	32,716,000	34,442,000	39,935,000	44,181,000	44,701,800	48,431,800	54,739,700	59,127,800	63,613,800
SSI State Supplement	6,898,000	7,807,000	9,384,000	9,987,000	10,587,000	10,675,000	11,486,000	12,107,000	12,806,000	15,301,000
Other State Funds	1,752,000	1,741,000	1,833,000	2,125,000	2,351,000	2,378,500	4,783,100	3,837,400	3,935,500	4,297,100
FEDERAL FUNDS	13,871,000	14,078,000	15,215,000	16,284,000	16,993,000	18,388,600	16,816,400	17,821,400	18,203,600	20,821,700
ICF/MR Funds	9,203,000	9,668,000	10,704,000	11,683,000	12,699,000	13,970,000	14,540,000	15,355,000	15,263,200	17,077,700
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	604,600	650,200	709,600	787,200	853,900	913,200	959,700	1,011,700	1,070,300	1,132,800
Large Private	8,598,400	9,017,800	9,994,400	10,895,800	11,845,100	13,056,800	13,580,300	14,343,300	14,192,900	15,944,900
Other Title XIX Funds	0	0	0	0	0	0	1,252,900	1,222,300	1,584,200	2,087,100
Title XIX Day Programs	0	0	0	0	0	0	1,252,900	1,116,100	1,255,300	1,300,000
Waiver	0	0	0	0	0	0	0	106,200	328,900	787,100
Title XX / SSBG Funds	3,998,000	3,740,000	3,789,000	3,851,000	3,544,000	3,728,000	326,300	523,100	613,000	906,900
Other Federal Funds	670,000	670,000	722,000	750,000	750,000	690,600	697,200	721,000	743,200	750,000
FEDERAL INCOME MAINTENANCE	18,390,000	20,544,000	23,311,000	27,077,000	33,787,000	37,799,000	41,310,000	45,061,000	48,771,000	63,539,000
Suppl. Security Income (SSI)	8,794,000	9,880,000	10,877,000	12,311,000	15,243,000	17,162,000	19,028,000	22,031,000	30,752,000	36,642,000
Childhood Disability (SSDI)	9,596,000	10,664,000	12,434,000	14,766,000	18,544,000	20,637,000	22,282,000	23,030,000	18,019,000	26,897,000
F.F.P. Rate	59.91%	58.88%	58.53%	58.10%	57.95%	58.00%	58.02%	57.16%	56.87%	56.87%
Daily Institutional Population	2,405	2,158	2,153	2,142	2,138	2,117	2,088	2,072	2,001	1,989
Institutional Per Diem	61.54	72.86	84.64	90.45	110.77	103.23	107.27	107.55	113.91	118.73

WYOMING

TECHNICAL NOTES

I. GENERAL INFORMATION

Administrative Organization. MR/DD community services are administered by the Department of Health and Social Services under the leadership of the DD Program Manager, who reports to the Director of Community Programs for that Department. There is one state MR/DD institution which is overseen by a separate administrative entity, the Board of Charities and Reform. The Board also has administrative responsibility for 11 other state facilities for mental health and corrections. There was a departmental reorganization in 1980 at which time the Community Programs Division was created. MR/DD, Mental Health, and Alcohol programs were made subdivisions.

Budget Format. The sections of Wyoming's State Budget that pertained to MR/DD services were as follows:

A. Department of Health & Social Services
  Total By Program
    Mental Health & Retardation
    Developmental Disabilities (FYs 1977-79)
    Community Services (FYs 1980-86)
  Total By Services
    Personal Services
    Supportive Services
    Restrictive Costs
  Means of Funding
    General Fund
    Earmarked
    Federal
    Trust & Agency Fund

B. Board of Charities & Reform
  State Training School
    Total By Program
      Administration
      Supportive Services
      Health Services
      Rehabilitative Service
      Federal Assistance
      Capital Outlay
    Total By Services
    Means of Funding
      General Fund
      Federal
      Earmarked

Note on Data Sources. Wyoming had a biennial budget. In order to obtain actual expenditures for each fiscal year, state personnel were contacted. The average daily census data for the institution were provided by Jeannette Carey, State Training School, (p.c., telephone, 6/28/84 and 2/25/86).

II. INSTITUTIONAL SERVICES FUNDS

Institutional services referred to expenditures for the "State Training School," which was reported in a separate line item in the budget. Individual fiscal year figures were obtained from Joe Poe, Business Manager for the Training School, and his assistant, Jeannette Carey (p.c., telephone, 10/25/83; correspondence, 2/14/86).

State General Funds comprised the bulk of funding for the state school. FYs 1977-85 figures were actual expenditures; FY 1986 data were the fiscal year appropriations.

Federal ICF/MR Funds. Wyoming did not receive any ICF/MR funds. The State Training School was not certified under ICF/MR regulations.

Other Federal Funds included Title I education monies from FY 1977 to FY 1986, Deaf-Blind program funds from FY 1977 to FY 1982, and ESEA Title VI-B from FY 1980 to FY 1983.

III. COMMUNITY SERVICES FUNDS

Community services consisted of residential and day services for adult clients and home and center-based day services for pre-school age clients. (The school-age individuals were served by Department of Education programs.) A 10% local match was required for all state-supported community programs during FYs 1977-86. These matching dollars were not reported in the state budget and were not included in our figures. Detail on the FYs 1977-83 DD portion of community services programs was supplied by Steve Zimmerman, DD Program Manager (p.c., telephone, 10/17/83); FYs 1984-86 figures were obtained from Ken Heinlein, DD Program Manager (p.c., correspondence, 2/14/86).

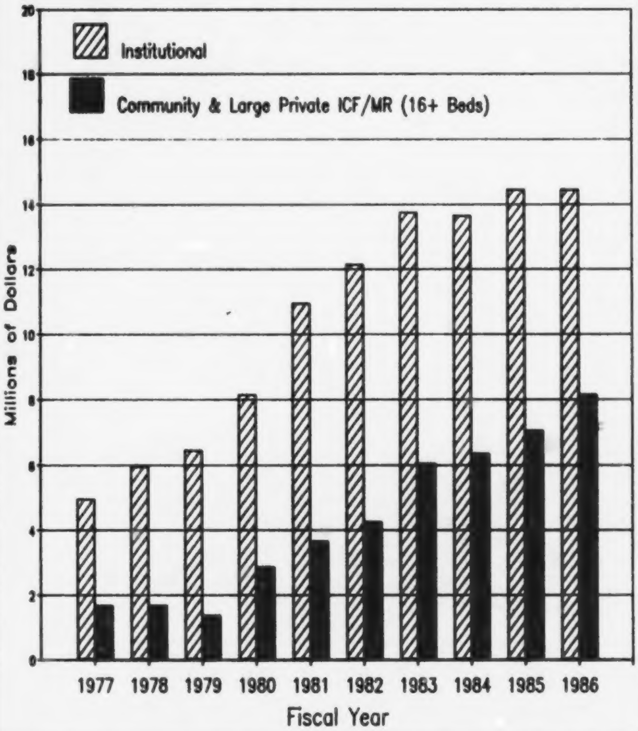
State General Funds support for community programs increased significantly in the period of our analysis. General funds were composed of pre-school and adult services expenditures, and state DD Council monies. Central administration costs were excluded. In FYs 1977-79, the State DD funds consisted almost entirely of matching funds for Title XX federal dollars.

Private ICF/MR Funds. There were no ICF/MR funds in Wyoming.

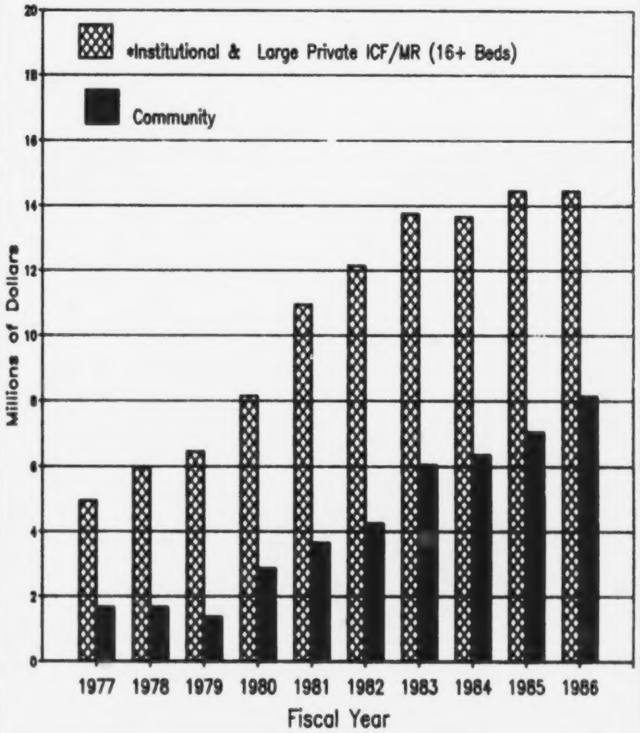
Federal Title XX/SSBG. Title XX was a major funding source for community programs in the early years of our study. However, when the federal Social Services Block grant replaced Title XX, DD programs no longer received any of these federal dollars, according to S. Zimmerman (p.c., telephone, 10/17/83).

Other Federal Funds included various federal grants supporting the pre-school and adult services programs, and an estimate of Title I education dollars which flowed through the Deparment of Education for pre-school age children who were served by the Deparment of Health and Social Services. In addition, DD Council funds were included here. DDSA figures for FYs 1977-80 were supplied by the Budget Office, Administration for Developmental Disabilities, DHHS, Washington, D.C., Nancy Stipa (p.c., telephone, 10/18/83).

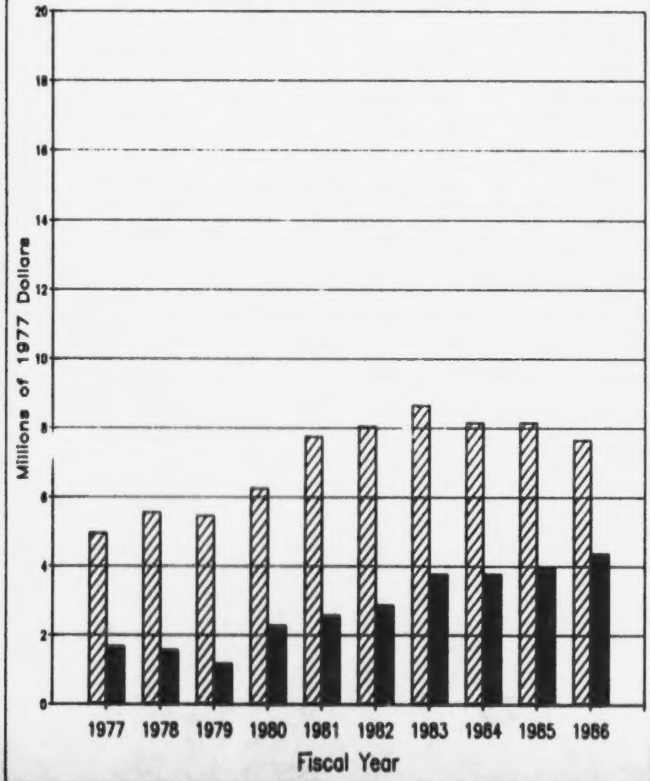
WYOMING



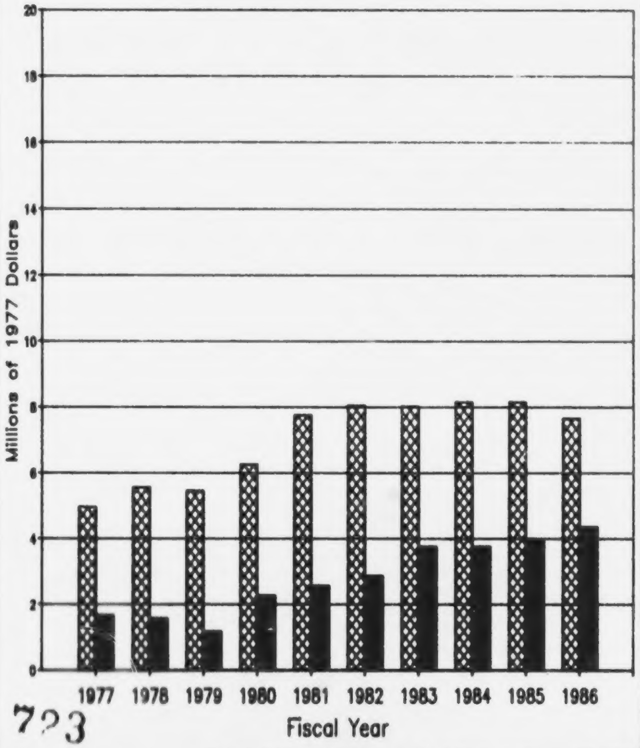
MR/DD Expenditures for *Institutional* & *Community* Services



MR/DD Expenditures for Large Congregate* & Community Services



Adjusted for Inflation



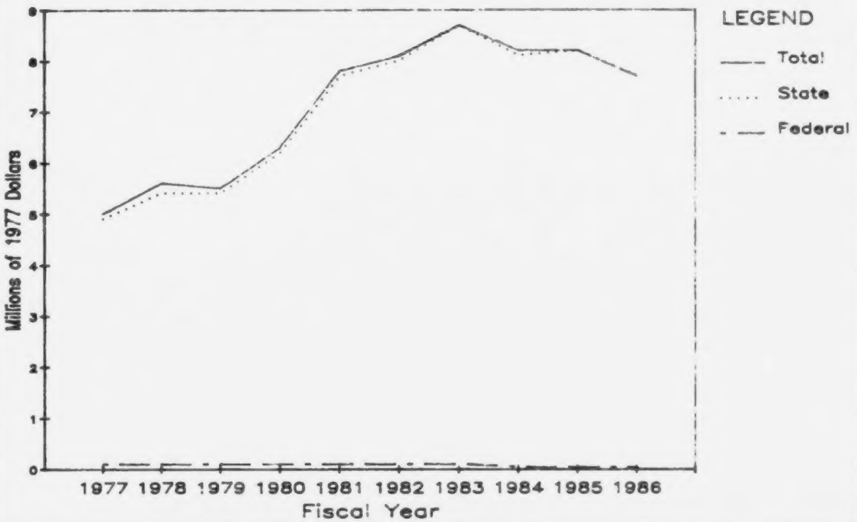
Adjusted for Inflation

723

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

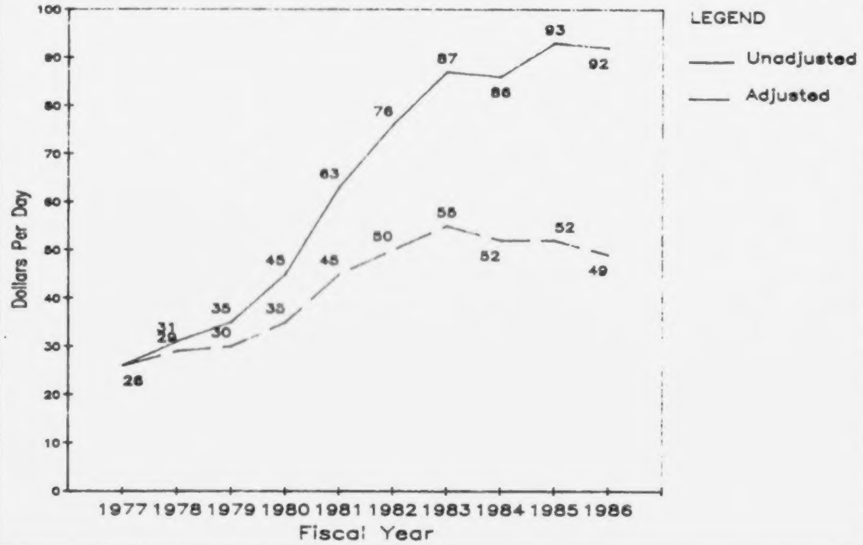
WYOMING

Institutional Spending in Real Economic Terms
By Level of Government: FY 1977–86

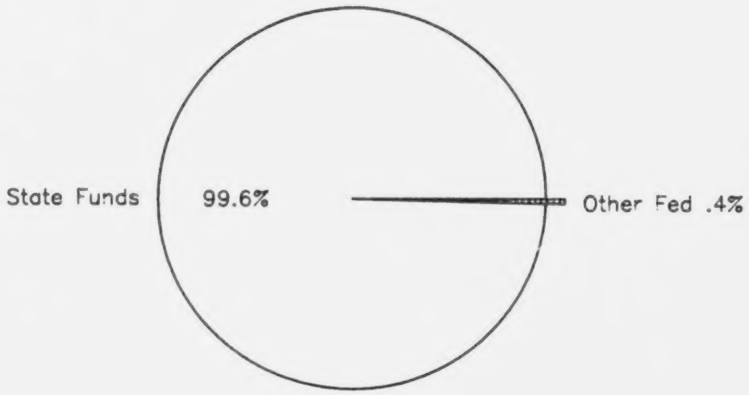


WYOMING

Institutional Per Diem Costs: FY 1977–86

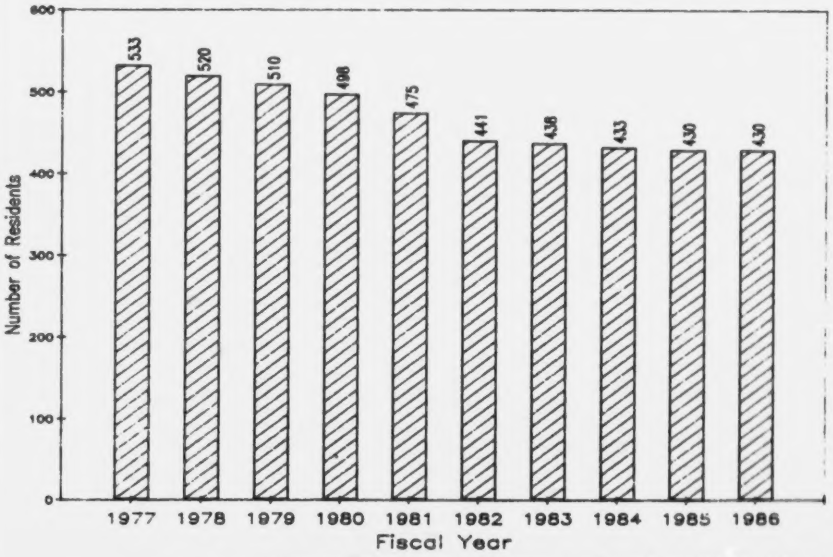


Institutional Revenue Detail: FY 1986 (Unadjusted)



FY 1986 Total Funds: $14.5 Million

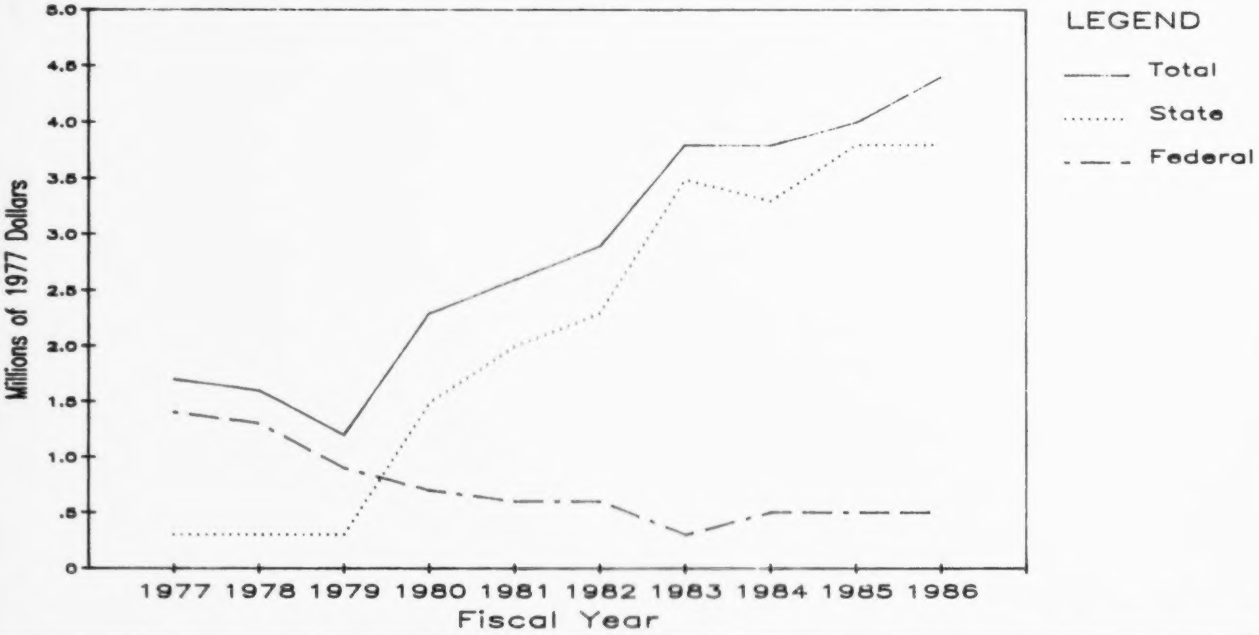
Average Daily Residents in Institutions



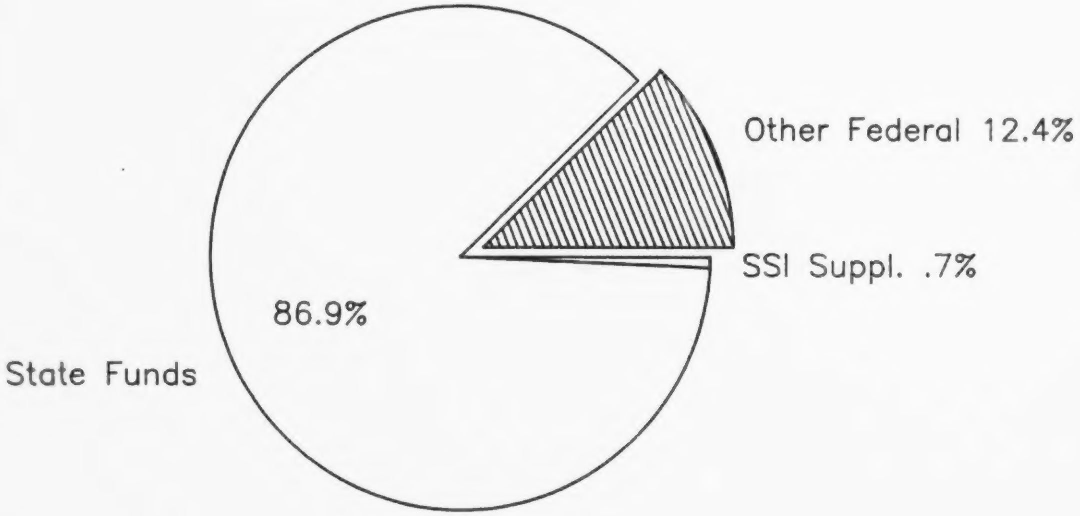
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1988

WYOMING

Community Spending Adjusted for Inflation By Level of Government: FY 1977–86



Community Revenue Detail: FY 1986 (Unadjusted)

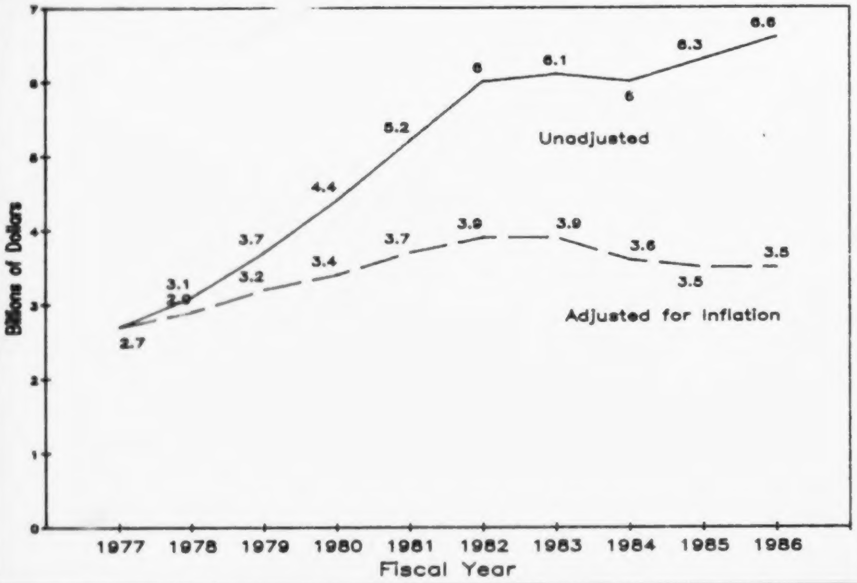


FY 1986 Total Funds: $8.24 Million

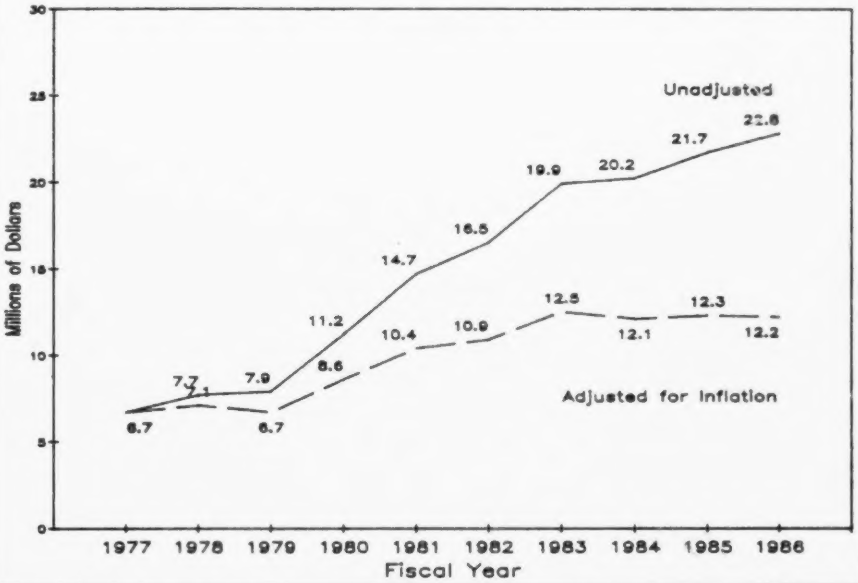
Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

WYOMING
DOES NOT HAVE
ICF/MR REIMBURSEMENTS

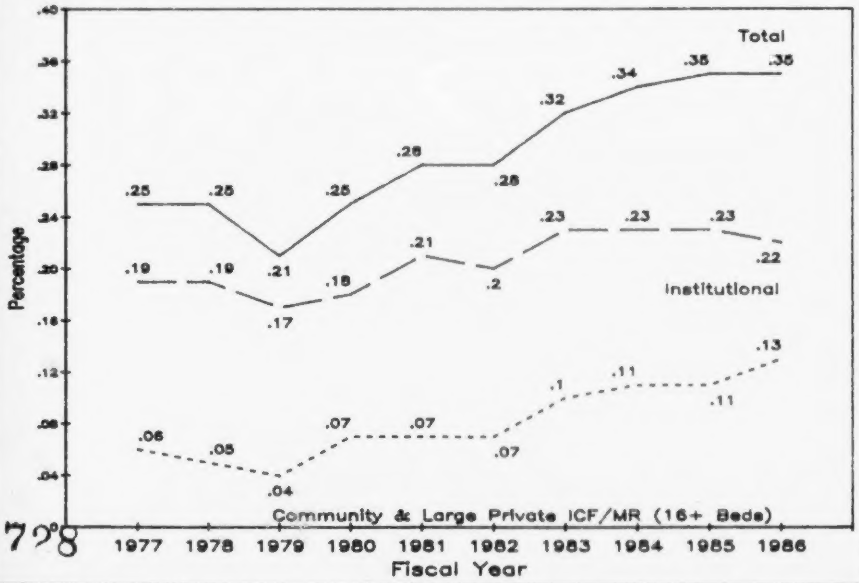
Personal Income in **WYOMING**



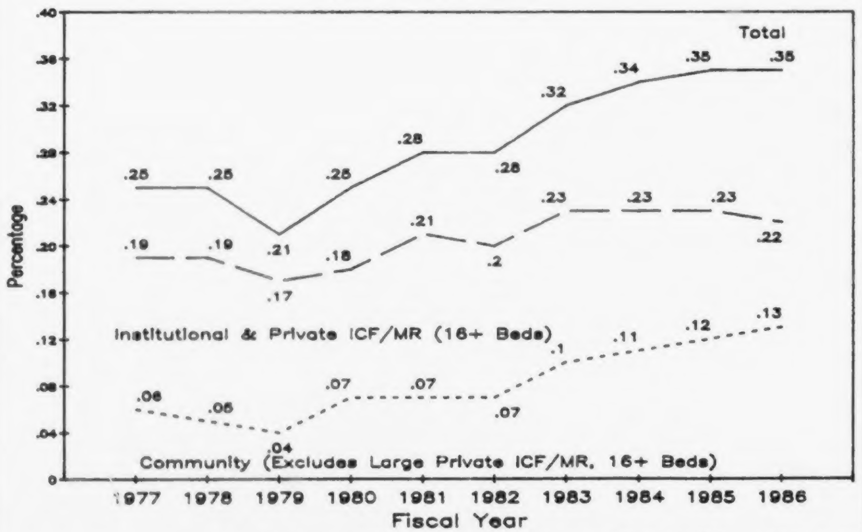
Total MR/DD Spending in **WYOMING**



MR/DD Spending as a Percentage of Personal Income



MR/DD Spending as a Percentage of Personal Income By Facility Size



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

WYOMING 9/3/86	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986
TOTAL WITH FEDERAL INCOME MAINT	7,711,000	8,689,000	8,976,000	12,409,000	16,266,000	18,063,000	21,787,000	22,100,900	23,253,900	25,320,400
TOTAL INSTITUTIONAL/COMMUNITY	6,728,000	7,660,000	7,879,000	11,175,000	14,726,000	16,500,000	19,916,000	20,121,900	21,627,900	22,707,400
STATE FUNDS	5,229,000	6,196,000	6,703,000	10,069,000	13,715,000	15,502,000	19,374,000	19,181,000	20,629,200	21,628,000
General Funds	5,229,000	6,196,000	6,663,000	10,029,000	13,675,000	15,462,000	19,334,000	19,137,000	20,582,200	21,572,000
SSI State Supplement	0	0	40,000	40,000	40,000	40,000	40,000	44,000	47,000	56,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	1,499,000	1,464,000	1,176,000	1,106,000	1,011,000	998,000	542,000	940,900	998,700	1,079,400
Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	1,000,000	1,000,000	600,000	600,000	400,000	400,000	0	0	0	0
Other Federal Funds	499,000	464,000	576,000	506,000	611,000	598,000	542,000	940,900	998,700	1,079,400
INSTITUTIONAL SERVICES FUNDS	5,043,000	5,975,000	6,489,000	8,225,000	10,998,000	12,168,000	13,843,000	13,691,600	14,519,000	14,467,300
STATE FUNDS	4,894,000	5,861,000	6,365,000	8,071,000	10,837,000	12,020,000	13,751,000	13,622,600	14,463,800	14,410,100
General Funds	4,894,000	5,861,000	6,365,000	8,071,000	10,837,000	12,020,000	13,751,000	13,622,600	14,463,800	14,410,100
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	149,000	114,000	124,000	154,000	161,000	148,000	92,000	69,000	55,200	57,200
Federal ICF/MR	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	0	0	0	0	0	0	0	0	0	0
Other Federal Funds	149,000	114,000	124,000	154,000	161,000	148,000	92,000	69,000	55,200	57,200
COMMUNITY WITH FEDERAL INCOME MAINT	2,668,000	2,714,000	2,487,000	4,184,000	5,268,000	5,895,000	7,944,000	8,409,300	8,734,900	10,853,100
COMMUNITY SERVICES FUNDS	1,685,000	1,685,000	1,390,000	2,950,000	3,728,000	4,332,000	6,073,000	6,430,300	7,108,900	8,240,100
STATE FUNDS	335,000	335,000	338,000	1,998,000	2,878,000	3,482,000	5,623,000	5,558,400	6,165,400	7,217,900
General Funds	335,000	335,000	298,000	1,958,000	2,838,000	3,442,000	5,583,000	5,514,400	6,118,400	7,161,900
SSI State Supplement	0	0	40,000	40,000	40,000	40,000	40,000	44,000	47,000	56,000
Other State Funds	0	0	0	0	0	0	0	0	0	0
FEDERAL FUNDS	1,350,000	1,350,000	1,052,000	952,000	850,000	850,000	450,000	871,900	943,500	1,022,200
ICF/MR Funds	0	0	0	0	0	0	0	0	0	0
Small Public	0	0	0	0	0	0	0	0	0	0
Small Private	0	0	0	0	0	0	0	0	0	0
Large Private	0	0	0	0	0	0	0	0	0	0
Other Title XIX Funds	0	0	0	0	0	0	0	0	0	0
Title XIX Day Programs	0	0	0	0	0	0	0	0	0	0
Waiver	0	0	0	0	0	0	0	0	0	0
Title XX / SSBG Funds	1,000,000	1,000,000	600,000	600,000	400,000	400,000	0	0	0	0
Other Federal Funds	350,000	350,000	452,000	352,000	450,000	450,000	450,000	871,900	943,500	1,022,200
FEDERAL INCOME MAINTENANCE	983,000	1,029,000	1,097,000	1,234,000	1,540,000	1,563,000	1,871,000	1,979,000	1,626,000	2,613,000
Suppl. Security Income (SSI)	494,000	485,000	463,000	481,000	595,000	511,000	735,000	805,000	1,055,000	1,242,000
Childhood Disability (SSDI)	489,000	544,000	634,000	753,000	945,000	1,052,000	1,136,000	1,174,000	571,000	1,371,000
F.F.P. Rate	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Daily Institutional Population	533	520	510	498	475	441	438	433	430	430
Institutional Per Diem	25.92	31.48	34.86	45.13	63.43	75.59	86.59	86.39	92.51	92.18

PART FOUR: FEDERAL INCOME MAINTENANCE FOR INDIVIDUALS WITH MENTAL RETARDATION AND RELATED DEVELOPMENTAL DISABILITIES

Section 1: Notes on Income Maintenance Data Sources

Section 2: Federal Income Maintenance Charts and Tables

PART FOUR

INCOME MAINTENANCE FOR INDIVIDUALS WITH MENTAL RETARDATION AND RELATED DEVELOPMENTAL DISABILITIES

Notes on Data Sources

Federal SSI

Federal and State Supplemental Security Income (SSI) recipient and payment figures for calendar year 1985 were obtained from the Social Security Administration, Office of the Associate Commissioner for Supplemental Security Income (correspondence, 8/26/86). Staff in the Division of Program Management and Analysis conducted a review of administrative records (the Supplemental Security Record--SSR), and employed a 10% sample of total Blind and Disabled recipients to produce national and individual state estimates of recipients with mental retardation and related developmental disabilities. The following categories were included in the sample (using the ICD-9 codes of the International Classification of Diseases, 9th Edition): 317, 318, 319 (mild, moderate/severe/profound, and unspecified mental retardation, respectively) and 758 (Down Syndrome).

In addition to these ICD-9 classification categories, the 10% sample included recipients who had been classified with codes 299 (infantile autism) and 742 (congenital anomalies). The small number of individuals with these ICD-9 classifications and, therefore, the large standard errors of measurement, rendered state-by-state estimates for Codes 299 and 742 inappropriate for presentation on state-by-state basis. The recipient figures and payments for these two disability categories nationally were:

ICD-9 Classification	Number of Recipients	Payments
Infantile Autism (299.0)	7,200	$24,447,000
Congenital Anomalies (742.0)	7,800	$26,484,000

Table I below presents the state-by-state SSI recipient and payment data for individuals classified under Codes 317-319 and 758. (Calendar year 1985 were designated as FY 1986 figures.) Fiscal Years 1977-85 payment levels for SSI recipients with Codes 317-319 and 758 were determined based on recipient and payment information provided by the SSA in the 8/26/86 correspondence. To compute state-by-state MR/DD payment levels, we first obtained the recipient numbers and Federal payment amounts for Blind/Disabled recipients for FY 1986 (December, 1985). These were available from Tables Q 22 (recipients) and Q 26 (average monthly payments) in the Social Security Bulletin for June, 1986 (Volume 49, Number 6, pp. 87, 89).

We were thus able to determine that the FY 1986 Federal payment figures for MR/DD obtained from SSA constituted 27.42% of these Blind/Disabled payments nationally (and various percentages state-by-state). We then imputed FYs 1977-85 payment amounts, utilizing the corresponding Tables from the Social Security Bulletin for December, 1984 (June, 1985, Volume 48, Number 6, pp. 95, 98) and so on for Bulletin Annual Statistical Supplements for 1976, 1977-79, 1980, 1981, 1982 and 1983. In each case, the December data were the basis of the fiscal year (e.g. December, 1976 for FY 1977).

Table I indicates a national total of 662,200 recipients using the sum of the state-by-state estimates, while the nation-wide estimate (including ICD-9 codes 299 and 742) is 686,000. The difference between these figures is not entirely explained by the estimated 15,000 recipients with infantile autism and congenital anomalies. The difference also reflects the greater measurement error in the state-by-state estimates versus that of the much larger national sample. For example, the standard error of measurement, expressed a percentage of each state's recipient numbers for Codes 317-319 and 758 ranged from 2.2% to 23.5%; the national percentage was only .7%.

State Supplements

A similar method was utilized to impute FYs 1977-85 State Supplement payments. For State-Administered State Supplements (the states of AL, AK, AZ, CO, CT, FL, ID, IL, IN, KY, MD, MN, MO, NE, NH, NM, NC, ND, OK, OR, SC, SD, UT, VA and WY), Tables Q 30 (Blind/Disabled recipients) and Q 32 (average monthly payments) were available for FY 1986 and for previous years from the Social Security Bulletin (the Fiscal Year data were based on the December monthly data). In addition, Tables Q 24 (Blind/Disabled recipients) and Q 27 (average monthly payments) provided data for Federally-Administered State Supplements (the states of AR, CA, DE, DC, FL, GA, HI, IA, KS, LA, ME, MD, MA, MI, MS, MT, NV, NJ, NY, OH, PA, RI, SD, TN, VT, WA and WI). Table II below indicates, for FY 1986, the state-by-state and national figues for MR/DD SSI State Supplement recipients, and payments.

Childhood Disability Beneficiaries (SSDI)

This program, authorized by Title II of the Social Security Act, provides benefits to adult children of workers covered under the Social Security Disability Insurance provisions. The number of mentally retarded childhood disability benificiaries and Federal benefits were provided by Aaron Krute, Director, Division of Disability Studies, Office of Disability, SSA (correspondence, 6/2/86) for calendar 1985. As with SSI, recipient and payment data, we designated these as FY 1986 data for our analysis. Utilizing prior years' data for total Childhood Disability beneficiaries, we imputed FYs 1977-85 benefits based on the MR participation rates provided in the correspondence from SSA.

However, unlike the SSI data which provided state-by-state figures for ICD-9 Codes 317-319 and 758 on a state-by-state basis; and codes 299 and 742 on a national basis, the Title II data only provided mental retardation benefits (codes 317-319). An official of the agency (p.c., telephone, Sylvan Hack, Statistical Support Branch, Office of Disability Studies, 9/5/86) indicated that, in a current sampling of Blind/Disabled beneficiaries nationally, Down Syndrome (ICD-9 Code 758) constituted 1% of the total sample (448 of 45,232 total childhood disability beneficiaries). Rather than attempt to impute beneficiary numbers and benefits for Down Syndrome on a state-by-state basis from this national ratio, we await the additional detailed data from the federal agency. The data will be published in subsequent editions of this volume.

Section 2: Federal Income Maintenance Charts and Tables

Federal SSI Payments for Individuals With Mental Retardation and Related Developmental Disabilities: FY 1986 (Table)
State Supplement Payments for Individuals With mental Retardation and Related Developmental Disabilities: FY 1986 (Table)
SSI MR/DD Recipients as a Percentage of the General Population, By State: FY 1986
Federal Income Maintenance for Individuals with Mental Retardation and Related Developmental Disabilities: FY 1986
Federal Income Maintenance for Individuals with Mental Retardation and Related Developmental Disabilities: FYs 1977–86, Unadjusted and Adjusted

TABLE 1
Federal SSI Payments for Individuals With Mental
Retardation and Related Developmental Disabilities: FY 1986

State	Blind/Disabled Federal Payments	Federal MR/DD Payments	MR/DD Percentage	# MR/DD Recipients
ALABAMA	$186,350,858	$65,487,000	35.14%	20,400
ALASKA	$7,142,029	$1,317,000	18.44%	400
ARIZONA	$68,352,984	$13,871,000	20.29%	4,300
ARKANSAS	$97,304,043	$38,051,000	39.11%	12,300
CALIFORNIA	$1,196,730,025	$201,569,000	16.84%	66,500
COLORADO	$55,388,650	$12,121,000	21.88%	4,100
CONNECTICUT	$57,153,897	$16,329,000	28.57%	5,500
DELAWARE	$14,690,293	$5,090,000	34.65%	1,800
DIST OF COLUM	$35,450,805	$7,141,000	20.14%	2,700
FLORIDA	$294,952,118	$76,159,000	25.82%	22,200
GEORGIA	$240,468,441	$84,349,000	35.08%	28,400
HAWAII	$18,432,589	$3,167,000	17.18%	1,000
IDAHO	$16,134,832	$5,425,000	33.62%	1,600
ILLINOIS	$308,052,580	$77,448,000	25.14%	26,100
INDIANA	$99,015,545	$36,039,000	36.40%	12,500
IOWA	$46,244,272	$17,895,000	38.70%	6,100
KANSAS	$37,851,899	$12,797,000	33.81%	4,300
KENTUCKY	$186,021,351	$57,988,000	31.17%	18,900
LOUISIANA	$216,006,946	$84,225,000	38.99%	25,900
MAINE	$34,826,065	$9,434,000	27.09%	3,200
MARYLAND	$106,410,576	$33,544,000	31.52%	11,100
MASSACHUSETTS	$165,298,308	$27,250,000	16.49%	9,400
MICHIGAN	$263,416,470	$75,981,000	28.84%	24,300
MINNESOTA	$54,386,894	$16,211,000	29.81%	6,200
MISSISSIPPI	$162,401,927	$67,353,000	41.47%	21,500
MISSOURI	$141,892,694	$49,581,000	34.94%	16,800
MONTANA	$15,247,311	$4,655,000	30.53%	1,500
NEBRASKA	$25,136,746	$9,848,000	39.18%	3,300
NEVADA	$12,810,002	$2,760,000	21.55%	1,000
NEW HAMPSHIRE	$11,588,444	$3,340,000	28.82%	1,100
NEW JERSEY	$176,662,778	$44,267,000	25.06%	14,600
NEW MEXICO	$47,945,542	$12,137,000	25.31%	3,800
NEW YORK	$719,551,326	$138,430,000	19.24%	44,600
NORTH CAROLINA	$225,917,657	$88,343,000	39.10%	29,400
NORTH DAKOTA	$10,266,864	$3,941,000	38.39%	1,600
OHIO	$288,742,658	$90,781,000	31.44%	30,200
OKLAHOMA	$88,421,462	$25,547,000	28.89%	8,900
OREGON	$52,655,326	$14,765,000	28.04%	4,500
PENNSYLVANIA	$335,186,957	$97,465,000	29.08%	31,400
RHODE ISLAND	$26,526,677	$8,469,000	31.93%	2,700
SOUTH CAROLINA	$138,533,415	$46,829,000	33.80%	15,800
SOUTH DAKOTA	$13,268,458	$3,627,000	27.34%	1,300
TENNESSEE	$212,736,903	$75,233,000	35.36%	24,700
TEXAS	$343,778,040	$97,727,000	28.43%	33,300
UTAH	$18,303,065	$5,995,000	32.75%	1,800
VERMONT	$16,239,532	$4,045,000	24.91%	1,900
VIRGINIA	$143,191,987	$46,639,000	32.57%	15,400
WASHINGTON	$102,260,597	$18,652,000	18.24%	6,200
WEST VIRGINIA	$92,913,602	$39,721,000	42.75%	12,500
WISCONSIN	$123,959,628	$36,642,000	29.56%	12,700
WYOMING	$4,350,736	$1,242,000	28.55%	500
SUBTOTAL	$7,356,572,805	$2,016,922,000	27.42%	662,200
TOTAL*		$2,067,853,000		686,000

* Includes Infantile Autism & Congenital Anomalies

TABLE 2
State Supplement Payments for Individuals With Mental Retardation and Related Developmental Disabilities: FY 1986

State	# Blind/Disabled State Payments	State Supplement Payments	MR/DD Percentage	# MR/DD Recipients
ALABAMA	$4,771,209	$1,180,000	24.73%	1,721
ALASKA	$8,208,858	$1,412,000	17.20%	513
ARIZONA	$1,444,629	$289,000	20.01%	375
ARKANSAS		ONE		
CALIFORNIA	$877,977,229	$140,717,000	16.03%	64,736
COLORADO	$3,317,189	$2,006,000	60.47%	2,017
CONNECTICUT	$20,914,052	$5,852,000	27.98%	2,334
DELAWARE	$518,377	$64,000	12.35%	41
DIST OF COLUM	$3,297,847	$385,000	11.67%	1,326
FLORIDA	$5,328,713	$1,245,000	23.36%	1,162
GEORGIA		ONE		
HAWAII	$2,489,548	$66,000	2.65%	148
IDAHO	$2,859,068	$752,000	26.30%	495
ILLINOIS	$46,319,718	$11,465,000	24.75%	9,574
INDIANA	$905,606	$428,000	47.26%	99
IOWA	$1,511,437	$86,000	5.69%	100
KANSAS		ONE		
KENTUCKY	$4,548,255	$1,339,000	29.44%	1,009
LOUISIANA		TWO		
MAINE	$3,737,618	$721,000	19.29%	2,578
MARYLAND		TWO		
MASSACHUSETTS	$58,331,523	$2,026,000	3.47%	1,966
MICHIGAN	$53,743,751	$11,134,000	20.72%	18,358
MINNESOTA	$15,474,937	$4,301,000	27.79%	2,280
MISSISSIPPI		ONE		
MISSOURI	$1,950,769	$622,000	31.88%	819
MONTANA	$797,024	$262,000	32.87%	273
NEBRASKA	$4,138,917	$1,327,000	32.06%	1,661
NEVADA		THREE		
NEW HAMPSHIRE	$6,332,423	$1,568,000	24.76%	1,290
NEW JERSEY	$35,006,276	$7,365,000	21.04%	12,521
NEW MEXICO		TWO		
NEW YORK	$173,123,116	$18,142,000	10.48%	24,028
NORTH CAROLINA	$17,394,218	$5,922,000	34.05%	1,793
NORTH DAKOTA		FOUR		
OHIO		TWO		
OKLAHOMA	$11,922,640	$3,200,000	26.84%	5,513
OREGON	$4,463,961	$1,049,000	23.50%	2,147
PENNSYLVANIA	$51,243,249	$12,217,000	23.84%	26,742
RHODE ISLAND	$6,329,188	$1,759,000	27.79%	2,699
SOUTH CAROLINA	$2,959,392	$836,000	28.25%	481
SOUTH DAKOTA	$209,939	$42,000	20.01%	35
TENNESSEE		ONE		
TEXAS		ONE		
UTAH		TWO		
VERMONT	$5,136,833	$1,037,000	20.19%	1,223
VIRGINIA	$5,973,860	$1,681,000	28.14%	655
WASHINGTON	$16,996,207	$1,743,000	10.26%	3,402
WEST VIRGINIA		ONE		
WISCONSIN	$58,054,120	$15,301,000	26.36%	11,457
WYOMING	$183,120	$56,000	30.58%	239
UNITED STATES	$1,518,793,689	$259,597,000	17.17%	207,809

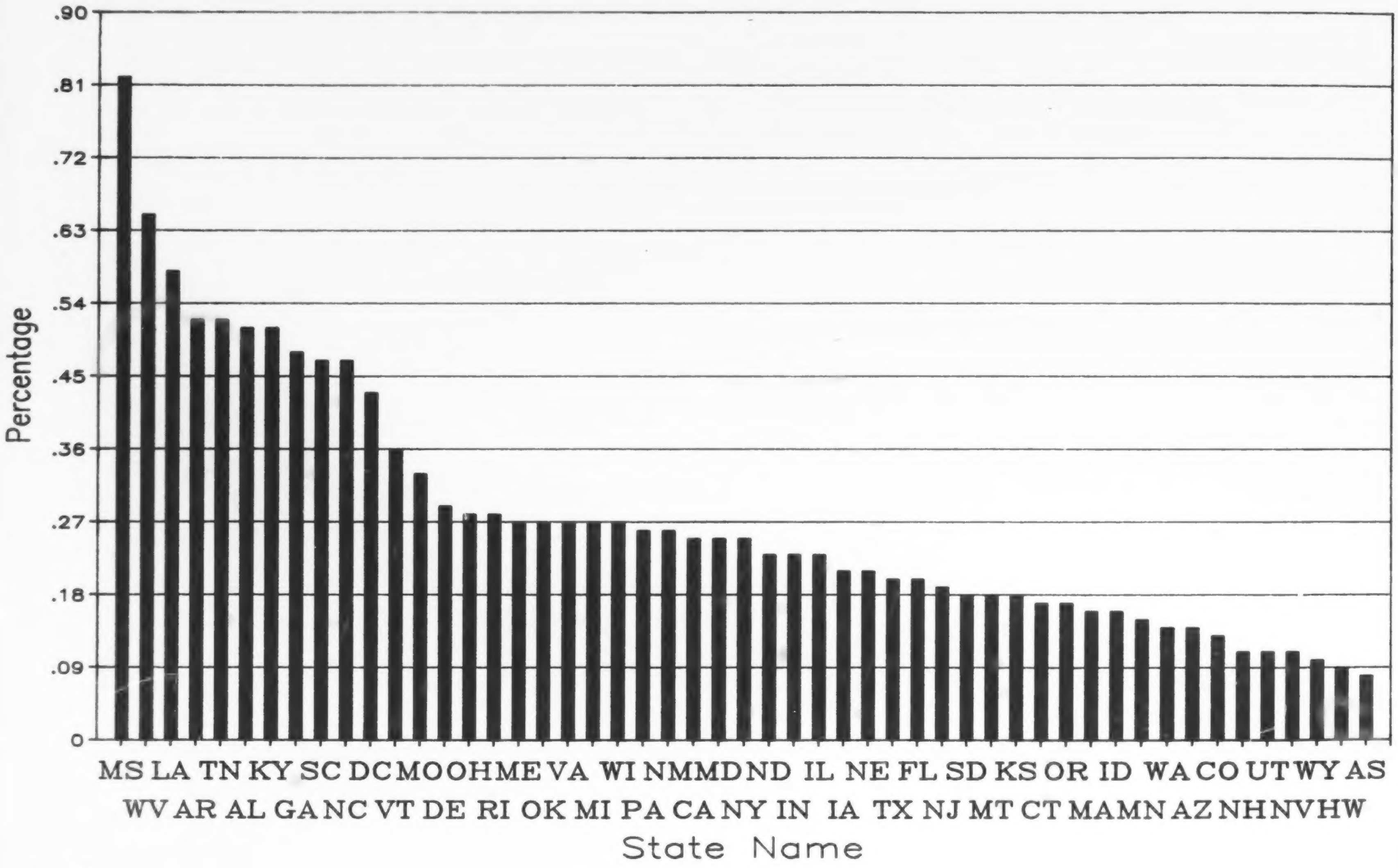
NOTES TO TABLE:

ONE: No state optional supplementation program.
TWO: Data not available.
THREE: Nevada does not supplement SSI disabled recipients.
FOUR: Less than $500.

TABLE 3
Federal SSI Recipients with Mental Retardation & Related Developmental Disabilities as a % of State Population: FY 1986, (Ranked by State)

STATE	# MR/DD Federal SSI Recipients	State Population	MR/DD Recipients as a % of State Population
MISSISSIPPI	21,500	2,612,000	0.82%
WEST VIRGINIA	12,500	1,937,000	0.65%
LOUISIANA	25,900	4,482,000	0.58%
ARKANSAS	12,300	2,362,000	0.52%
TENNESSEE	24,700	4,753,000	0.52%
ALABAMA	20,400	4,022,000	0.51%
KENTUCKY	18,900	3,729,000	0.51%
GEORGIA	28,400	5,970,000	0.48%
SOUTH CAROLINA	15,800	3,346,000	0.47%
NORTH CAROLINA	29,400	6,255,000	0.47%
DIST OF COLUM	2,700	624,000	0.43%
VERMONT	1,900	535,000	0.36%
MISSOURI	16,800	5,036,000	0.33%
DELAWARE	1,800	621,000	0.29%
OHIO	30,200	10,756,000	0.28%
RHODE ISLAND	2,700	968,000	0.28%
MAINE	3,200	1,164,000	0.27%
OKLAHOMA	8,900	3,290,000	0.27%
VIRGINIA	15,400	5,706,000	0.27%
MICHIGAN	24,300	9,105,000	0.27%
WISCONSIN	12,700	4,780,000	0.27%
PENNSYLVANIA	31,400	11,867,000	0.26%
NEW MEXICO	3,800	1,448,000	0.26%
CALIFORNIA	66,500	26,189,000	0.25%
MARYLAND	11,100	4,392,000	0.25%
NEW YORK	44,600	17,772,000	0.25%
NORTH DAKOTA	1,600	685,000	0.23%
INDIANA	12,500	5,505,000	0.23%
ILLINOIS	26,100	11,523,000	0.23%
IOWA	6,100	2,890,000	0.21%
NEBRASKA	3,300	1,607,000	0.21%
TEXAS	33,300	16,274,000	0.20%
FLORIDA	22,200	11,290,000	0.20%
NEW JERSEY	14,600	7,560,000	0.19%
SOUTH DAKOTA	1,300	709,000	0.18%
MONTANA	1,500	827,000	0.18%
KANSAS	4,300	2,448,000	0.18%
CONNECTICUT	5,500	3,173,000	0.17%
OREGON	4,500	2,685,000	0.17%
MASSACHUSETTS	9,400	5,822,000	0.16%
IDAHO	1,600	1,006,000	0.16%
MINNESOTA	6,200	4,191,000	0.15%
WASHINGTON	6,200	4,410,000	0.14%
ARIZONA	4,300	3,168,000	0.14%
COLORADO	4,100	3,219,000	0.13%
NEW HAMPSHIRE	1,100	997,000	0.11%
UTAH	1,800	1,673,000	0.11%
NEVADA	1,000	930,000	0.11%
WYOMING	500	508,000	0.10%
HAWAII	1,000	1,055,000	0.09%
ALASKA	400	516,000	0.08%
Totals	662,200	238,392,000	0.28%

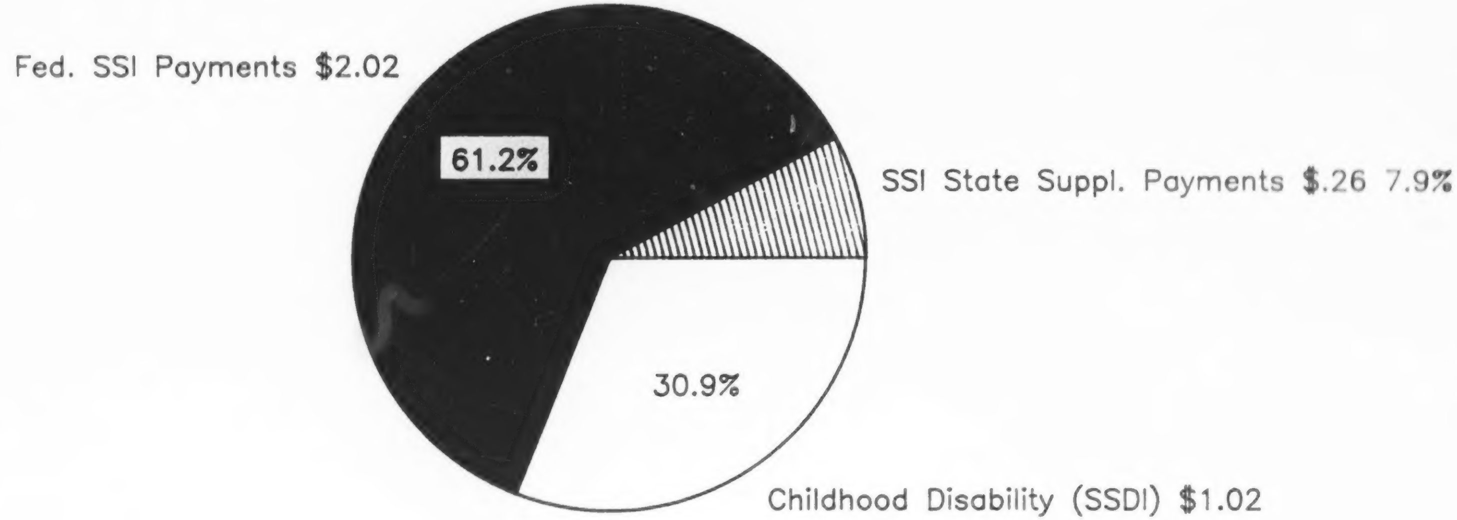
SSI MR/DD Recipients as a Percentage of the General Population, By State: FY 1986



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

Federal Income Maintenance for Individuals with Mental Retardation and Related Developmental Disabilities: FY 1986

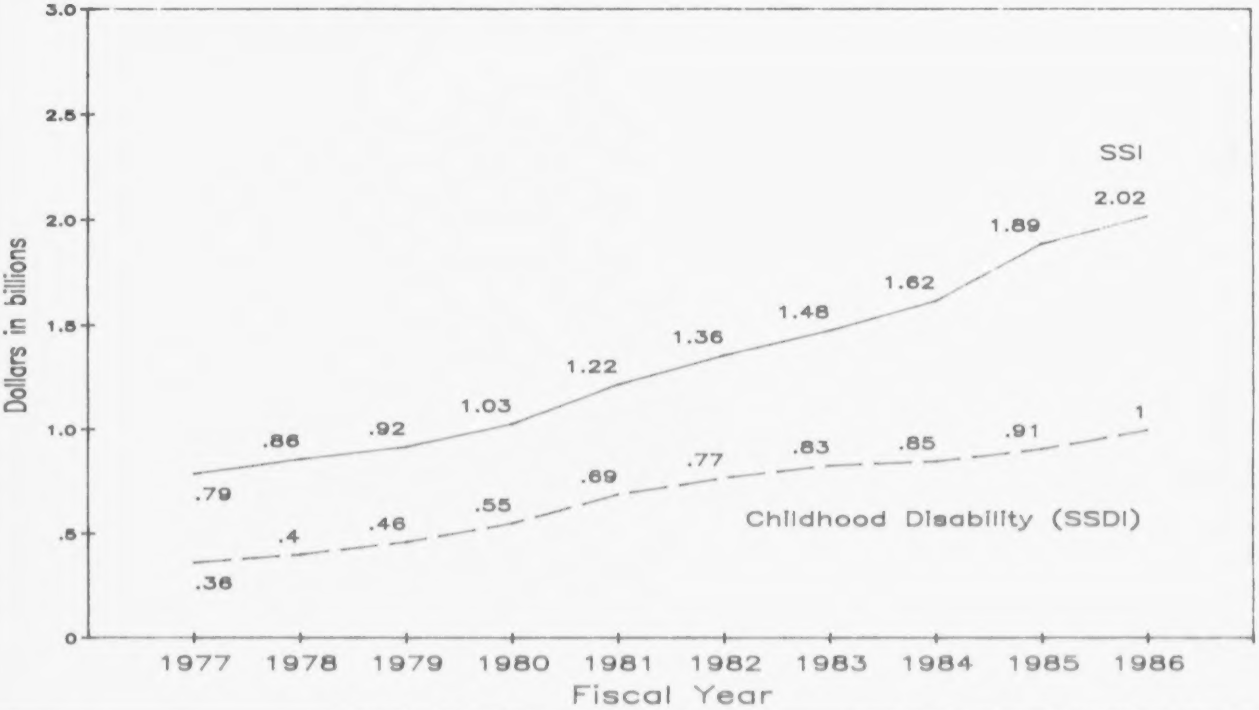
(Dollars in Billions)



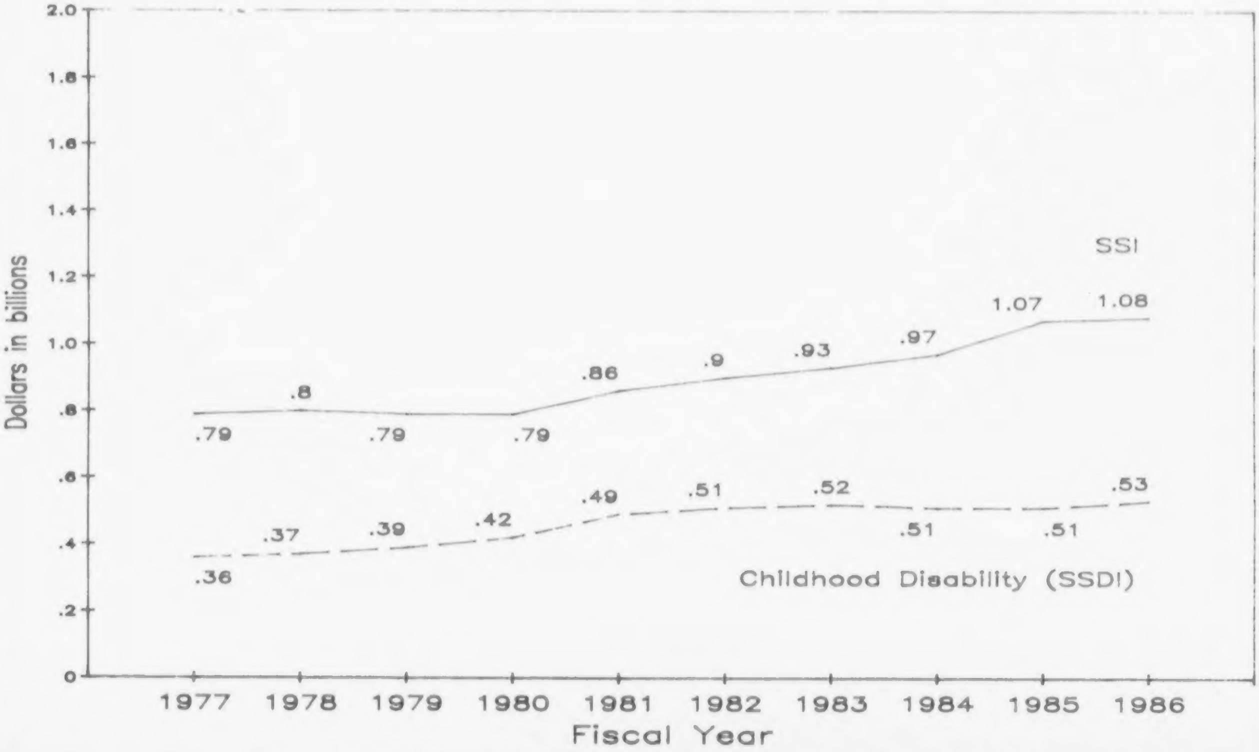
Total Funds: $3.30 Billion

Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986

Federal Income Maintenance for Individuals with Mental Retardation and Related Developmental Disabilities: FY 1977–86



Adjusted for Inflation



Source: Policy Analysis Program, U of Illinois at Chicago UAF, 1986